

Child Care and Development Fund (CCDF) Plan For Utah FFY 2019-2021

1 Define CCDF Leadership and Coordination with Relevant Systems

This section identifies the leadership for the CCDF program in each Lead Agency and the entities and individuals who will participate in the implementation of the program. It also identifies the stakeholders that were consulted to develop the Plan and who the Lead Agency collaborates with to implement services. In this section respondents are asked to identify how match and maintenance-of-effort (MOE) funds are identified. Lead Agencies explain their coordination with child care resource and referral (CCR&R) systems, and outline the work they have done on their disaster preparedness and response plans.

1.1 CCDF Leadership

The Governor of a State or Territory shall designate an agency (which may be an appropriate collaborative agency), or establish a joint inter-agency office, to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E(c)(1)). Note: An amendment to the CCDF State Plan is required if the Lead Agency changes or if the Lead Agency official changes.

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

Identify the Lead Agency or joint interagency office designated by the state or 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)).

Effective Date: 10/01/2018

a) Lead Agency or Joint Interagency Office Information:

Name of Lead Agency: Utah Department of Workforce Services

Street Address: 140 East 300 South

City: Salt Lake City

State: Utah

ZIP Code: 84111

Web Address for Lead Agency: jobs.utah.gov

b) Lead Agency or Joint Interagency Official Contact Information:

Lead Agency Official First Name: Jon

Lead Agency Official Last Name: Pierpont

Title: Executive Director

Phone Number: 801-526-9210

Email Address: jpierpo@utah.gov

1.1.2 Who is the CCDF Administrator?

Identify the CCDF Administrator designated by the Lead Agency, the day-to-day contact, or the person with responsibility for administering the state's or 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 the person with administrative responsibilities and include his or her contact information.

Effective Date: 08/03/2020

a) CCDF Administrator Contact Information:

CCDF Administrator First Name: Tracy

CCDF Administrator Last Name: Gruber

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

Phone Number: 801-526-9265

Email Address: tgruber@utah.gov

Address for the CCDF Administrator (if different from the Lead Agency):

Street Address:

City:

State:

ZIP Code:

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

CCDF Co-Administrator First Name: NA

CCDF Co-Administrator Last Name:

Title of the CCDF Co-Administrator:

Description of the role of the Co-Administrator:

Phone Number:

Email Address:

Address for the CCDF Co-Administrator (if different from the Lead Agency):

Street Address:

City:

State:

ZIP Code:

1.2 CCDF Policy Decision Authority

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or public or private local agencies as long as it retains overall responsibility for the administration of the program (658D(b)). Administrative and implementation responsibilities undertaken by agencies other than the Lead Agency must be governed by written agreements that specify the mutual roles and responsibilities of the Lead Agency and other agencies in meeting the program requirements.

1.2.1 Which of the following CCDF program rules and policies are administered (i.e., set or established) at the state or territory level or local level? Identify whether CCDF program rules and policies are established by the state or territory (even if operated locally) or whether the CCDF policies or rules are established by local entities, such as counties or workforce boards (98.16(i)(3)). Check one.

Effective Date: 10/01/2018

- All program rules and policies are set or established at the state or territory level. If checked, skip to question 1.2.2.
- Some or all program rules and policies are set or established by local entities. If checked, indicate which entities establish the following policies. Check all that apply.

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

- State or territory
- Local entity (e.g., counties, workforce boards, early learning coalitions).

If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set.

- Other.

Describe:

2. Sliding-fee scale is set by the:

- State or territory
- Local entity (e.g., counties, workforce boards, early learning coalitions).

If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set.

Other.

Describe:

3. Payment rates are set by the:

- State or territory
- Local entity (e.g., counties, workforce boards, early learning coalitions).

If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set.

Other.

Describe:

4. Other. List and describe other program rules and policies and describe (e.g., quality rating and improvement systems [QRIS], payment practices):

1.2.2 How is the CCDF program operated? In other words, which entity(ies) implement or perform these CCDF services? Check all that apply

Effective Date: 10/01/2018

a) Who conducts eligibility determinations?

- CCDF Lead Agency
- Temporary Assistance for Needy Families (TANF) agency

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

Describe

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

- CCDF Lead Agency
- TANF agency
- Other state or territory agency
- Local government agencies, such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe

c) Who issues payments?

- CCDF Lead Agency
- TANF agency
- Other state or territory agency
- Local government agencies, such as county welfare or social services departments
- Child care resource and referral agencies
- Community-based organizations
- Other.

Describe

1.2.3 Describe the processes the Lead Agency uses to monitor CCDF administration and implementation responsibilities performed by other agencies as reported above in 1.2.2, including written agreements, monitoring and auditing procedures, and indicators or measures to assess performance of those agencies (98.16(b)). Note : The contents of the written agreement may vary based on the role the agency is asked to assume or type of project, but must include at a minimum, tasks to be performed, schedule for completing tasks, budget which itemizes categorical expenditures in accordance with CCDF requirements, and indicators or measures to assess performance (98.11(a)(3)).

Effective Date: 10/01/2018

The Lead Agency utilizes one sub-recipient for the responsibilities outlined in 1.2.2. The Lead Agency has contracts with six child care resource and referral agencies throughout the state. Collectively, these agencies comprise "Care About Childcare (CAC)." Although there are six separate agreements, all of the agreements are identical with regard to assisting parents in locating child care. The contracts are all written agreements with explicit requirements to assist consumers seeking information about the availability of child care, individualized to meet the child care needs of the consumer. This information includes locating services, as well as accessing child care subsidies. The agreements require the CAC agencies to operate a referral website and phone services 35 hours per week, 52 weeks per year. In addition, the agencies are required to distribute customer satisfaction survey at the end of each month to all customers seeking referral services. The Lead Agency utilizes a contract monitoring checklist to monitor the activities of the CAC agencies. This checklist is used to conduct desk audits of the programs. It is a program audit. If a program does not comply with the requirements of the contract, the Lead Agency may terminate the contract after efforts are made to bring the program into compliance. In addition to program monitoring, the Lead Agency engages in fiscal monitoring of the agreements. The CAC agencies are requirement to submit invoices with proper documents. Each invoice is reviewed by two members of the Lead Agency staff prior to releasing payment. The agencies are monitored quarterly. The measures utilized to assess performance include customer satisfaction, as measured by the monthly surveys; number of referrals received and responded to each month; and online referrals.

1.2.4 Lead Agencies must assure that, to the extent practicable and appropriate, any code or software for child care information systems or information technology for which a Lead Agency or other agency expends CCDF funds to develop must be made available on request to other public agencies, including public agencies in other States, for their use in administering child care or related programs (98.15(a)(11)).

Effective Date: 10/01/2018

Assure by describing how the Lead Agency makes child care information systems available to public agencies in other states to the extent practicable and appropriate.

The Lead Agency makes child care information systems available to public agencies in other states to the extent practicable and appropriate. It should be noted that to date, the Lead Agency has not received any requests from other public agencies for child care information systems. However, if a public agency in another state requested code or software for child care information systems or information technology for which the Lead Agency expended CCDF funds to develop, the Lead Agency would require the requesting public agencies to submit a formal request. The Lead Agency would then create a Memorandum of Understanding with the requesting state, which would include language noting that the Lead Agency would not support the system. Rather it would simply transfer the source code.

Effective Date: 10/01/2018

1.2.5 Lead Agencies must have in effect policies to govern the use and disclosure of confidential and personally identifiable information about children and families receiving CCDF assistance and child care providers receiving CCDF funds (98.15(b)(13)).

Effective Date: 10/01/2018

Certify by describing the Lead Agency's policies related to the use and disclosure of confidential and personally identifiable information.

Utah Code, Utah Administrative Code and the Department of Workforce Services policy manuals safeguard protections for individuals accessing CCDF. The policies for individuals are contained in Utah Administrative Code R986-100-107-110. These policies establish that the Lead Agency safeguards all client-level information, regardless of whether the information is kept in “the case file, in the computer system, maintained by the Department, the state, or somewhere else.” These requirements are established in accordance with Utah Code §63G-2-101-901 and 7 CFR 272.1(c), 272,8 and PRWORA (1996) Title VIII, Section 837. Within the Lead Agency’s policy manual, there are provisions regarding the safeguarding and releasing of information on individual customers. In addition, Utah Administrative Code requires the Lead Agency to obtain consent from any clients. Utah Administrative Code can be found at <https://rules.utah.gov/publications/utah-adm-code/>. The Utah Code can be found at <https://le.utah.gov/xcode/code.html>. The Lead Agency policy manuals are available at https://dws.utah.gov/infosource/erep/epolicy/Eligibility_Manual.htm. In addition to protecting individual customer data, the Lead Agency adopted policy regarding releasing information to child care providers. These policies limit the information that a child care provider may receive about a family covered by child care subsidies. Specifically, the information is limited to information regarding benefits to be paid to them for services provided.

https://dws.utah.gov/infosource/erep/epolicy/100_General_Information_and_Provisions/110-3_Releasing_Information_to_a_Child_Care_Provider.html.

Effective Date: 10/01/2018

1.3 Consultation in the Development of the CCDF Plan

The Lead Agency is responsible for developing the CCDF plan, which serves as the application for a 3-year implementation period. As part of the Plan development process, Lead Agencies must consult with the following:

(1) Appropriate representatives of units of general purpose local government-(658D(b)(2); 98.10(c); 98.12(b); 98.14(b)). General purpose local governments are defined by the U.S. Census at https://www.census.gov/newsroom/cspan/govts/20120301_cspan_govts_def_3.pdf.

(2) The State Advisory Council (SAC) on Early Childhood Education and Care (pursuant to 642B(b)(1)(A)(i) of the Head Start Act) (658E(c)(2)(R); 98.15(b)(1)) or similar coordinating body pursuant to 98.14(a)(1)(vii).

(3) Indian tribe(s) or tribal organization(s) within the state. This consultation should be done in a timely manner and at the option of the Indian tribe(s) or tribal organization(s) (658D(b)(1)(E)).

Consultation

involves meeting with or otherwise obtaining input from an appropriate agency in the development of the state or territory CCDF Plan. Describe the partners engaged to provide services under the CCDF program in question 1.4.1.

1.3.1 Describe the Lead Agency's consultation in the development of the CCDF plan.

Effective Date: 10/01/2018

a) Describe how the Lead Agency consulted with appropriate representatives of general purpose local governments.

The Lead Agency consults on a regular basis with representatives of general purpose local governments. There are representatives of local government on the State Advisory Council that meets quarterly. In addition, the Lead Agency is overseeing a project involving 15 counties to reduce intergenerational poverty. Through this project, the Lead Agency has consulted with these counties to address issues involving early childhood and child care. These discussion led to increased focused by the Lead Agency on issues confronting rural counties and child care and informed the Lead Agency's responses on child care access.

In addition, beginning January 2018, the Office of Child Care Advisory Committee established a State Plan Steering Committee. The State Plan Steering Committee began

meeting in February 2018 and met a total of five times to develop the state plan. These meetings were conducted in person and by telephone. In advance of each meeting, participants received relevant sections of the state plan that were discussed at each meeting. This provided an opportunity for the Lead Agency to meet its responsibilities of consultation with the mandatory representatives. A representative from county government was included on the State Plan Steering Committee and was provided opportunity for consultation.

b) Describe how the Lead Agency consulted with the State Advisory Council or similar coordinating body.

In January 2018, the Office of Child Care Advisory Committee established a State Plan Steering Committee. The State Plan Steering Committee began meeting in February 2018 and met a total of five times to develop the state plan. These meetings were conducted in person and by telephone. In advance of each meeting, participants received relevant sections of the state plan that were discussed at each meeting. This provided an opportunity for the Lead Agency to meet its responsibilities of consultation with the mandatory representatives. The director of the State Advisory Council was a member of the State Plan Steering Committee and was provided opportunity for consultation. In addition, the Lead Agency is represented on the State Advisory Council. The SAC meets quarterly and during its April 2018 meeting, the Lead Agency presented a report on the state plan and invited feedback from the SAC on the state plan. Finally, the draft State Plan was distributed to the SAC prior to submission.

c) Describe, if applicable, how the Lead Agency consulted with Indian tribes(s) or tribal organizations(s) within the state. Note: The CCDF regulations recognize the need for States to conduct formal, structured consultation with Tribal governments, including Tribal leadership. Many States and Tribes have consultation policies and procedures in place.

In January 2018, the Office of Child Care Advisory Committee established a State Plan Steering Committee. The State Plan Steering Committee began meeting in February 2018 and met a total of five times to develop the state plan. These meetings were conducted in person and by telephone. In advance of each meeting, participants received relevant sections of the state plan that were discussed at each meeting. This provided an opportunity for the Lead Agency to meet its responsibilities of consultation with the mandatory representatives. All of the Indian tribes were invited to participate on

the State Plan Steering Committee. This included the Paiute, Goshute, Ute and Northwest Band of the Shoshone Nation. The Paiute Tribe participated in all of the Steering Committee calls and the Northwest Band of the Shoshone Nation participated in one call. In addition, Utah's Governor established a mandatory consultation program with all tribes with overlapping jurisdiction in the state. Because of that Executive Order, the Lead Agency was required to invite feedback on the State Plan prior to final submission.

In addition, the Lead Agency consults with the tribes on a quarterly basis. This consultation has led to the establishment of Memorandums of Understanding with several tribes with regard to background check requirements discussed in this State Plan.

d) Describe any other entities, agencies, or organizations consulted on the development of the CCDF plan.

In addition to the mandatory representatives, the following entities, agencies and organizations consulted on the plan: Utah Professional Child Care Association, Private Family Child Care Association, Head Start Association, Utah Afterschool Network, Child and Adult Food Program, McKinney-Vento representative, Child Care Resource and Referral Agencies and Help Me Grow.

1.3.2 Describe the statewide or territory-wide public hearing process held to provide the public with an opportunity to comment on the provision of child care services under this Plan (658D(b)(1)(C); 98.16(f)).

Reminder:

Lead Agencies are required to hold at least one public hearing in the state or territory, with sufficient statewide or territory-wide distribution of notice prior to such a hearing to enable the public to comment on the provision of child care services under the CCDF Plan. At a minimum, this description must include:

Effective Date: 10/01/2018

a) Date of the public hearing. 06/07/2018

Reminder: Must be no earlier than January 1, 2018, which is 9 months prior to the October 1, 2018, effective date of the Plan. If more than one public hearing was held,

please enter one date (e.g. the date of the first hearing, the most recent hearing or any hearing date that demonstrates this requirement).

b) Date of notice of public hearing (date for the notice of public hearing identified in (a)).
05/16/2018

Reminder: Must be at least 20 calendar days prior to the date of the public hearing. If more than one public hearing was held, enter one date of notice (e.g. the date of the first notice, the most recent notice or any date of notice that demonstrates this requirement).

c) How was the public notified about the public hearing? Please include specific website links if used to provide notice.

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

d) Hearing site or method, including how geographic regions of the state or territory were addressed. The Lead Agency hosted its public hearing on 06/07/2018, to accommodate varying schedules. The hearing was held in the evening to allow participation of child care providers. Although it took place in Salt Lake City, Utah at the Lead Agency's office, the public was invited to participate in three ways: (1) join in person; (2) participate online via Go To Meeting; or (3) participate by telephone. The three methods allowed for statewide participation in the hearings.

e) How the content of the Plan was made available to the public in advance of the public hearing. (e.g. the Plan was made available in other languages, in multiple formats, etc.)

The State Plan was posted on the Lead Agency's website on 05/16/2018. The public notice contained the URL to access the State Plan.

f) How was the information provided by the public taken into consideration regarding the provision of child care services under this Plan? The Lead Agency permitted feedback on the plan either in writing or during the public meetings. The public comment period remained open until 06/15/2018. The Lead Agency reviewed all of the public comments and evaluated whether comments required revisions to the State Plan. Prior to submitting its final State Plan, the Lead Agency reviewed the comments for a second time, in light of the revisions to the State Plan Preprint. Where appropriate, revisions were made to the Plan. It is worth noting that the majority of the comments were not suggestions to the plan itself; rather simply general comments about the Lead Agency's child care program.

1.3.3 Lead Agencies are required to make the submitted and final Plan, any Plan amendments, and any approved requests for temporary relief (i.e., waivers) publicly available on a website (98.14(d)). Please note that a Lead Agency must submit Plan amendments within 60 days of a substantial change in the Lead Agency's program. (Additional information may be found here: <https://www.acf.hhs.gov/occ/resource/pi-2009-01>)

Effective Date: 10/01/2018

a) Provide the website link to where the Plan, any Plan amendments, and/or waivers are available. Note: A Plan amendment is required if the website address where the Plan is posted is changed.

The Lead Agency posts all State Plans, any plan amendments and approved requests for temporary relieve or waivers available at <https://jobs.utah.gov/occ/plans.html>.

b) Describe any other strategies that the Lead Agency uses to make the CCDF Plan and Plan amendments available to the public (98.14(d)). Check all that apply and describe the strategies below, including any relevant website links as examples.

Working with advisory committees.

Describe:

Working with advisory committees. Describe: The Lead Agency informs the Office of Child Care Advisory Committee of any substantive changes to the state plan. In accordance with state law regarding public meetings, the information is distributed to the Advisory Committee and relevant stakeholders. The agenda includes the amendments and the changes are discussed. The Advisory Committee does not have authority to veto any changes but may advise the Lead Agency on changes to the State Plan.

Working with child care resource and referral agencies.

Describe:

Providing translation in other languages.

Describe:

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

Describe:

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

Describe:

The Lead Agency distributes notices through Care About Childcare to inform child care providers of waivers and substantive State Plan Amendments.

Other.

Describe:

The Lead Agency sends notice to an extensive list of interested parties that it maintains. Any individual or organization may request to be included on the list of interested parties. In addition, the Lead Agency notifies the members of Early Childhood Utah, the State Advisory Council.

1.4 Coordination with Partners to Expand Accessibility and Continuity of Care

Lead Agencies are required to describe how the state or territory will efficiently, and to the extent practicable, coordinate child care services supported by CCDF with programs operating at the federal, state/territory, and local levels for children in the programs listed below. This includes programs for the benefit of Indian children, infants and toddlers, children with disabilities, children experiencing homelessness, and children in foster care (98.14(a)(1)).

1.4.1 Describe how the Lead Agency coordinates the provision of child care services with the following programs to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services that meet the needs of working families (658E(c)(2)(O); 98.12(a); 98.14(a)).

This list includes agencies or programs required by law or rule, along with a list of optional partners that Lead Agencies potentially would coordinate with over the next 3 years to expand

accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services.

Include in the descriptions the goals of this coordination, such as:

- extending the day or year of services for families;
- smoothing transitions for children between programs or as they age into school;
- enhancing and aligning the quality of services for infants and toddlers through school-age children;
- linking comprehensive services to children in child care or school age settings; or
- developing the supply of quality care for vulnerable populations (as defined by the Lead Agency) in child care and out-of-school time settings

Check the agencies or programs the Lead Agency will coordinate with and describe all that apply.

Effective Date: 10/01/2018

- (REQUIRED) Appropriate representatives of the general purpose local government, which can include counties, municipalities, or townships/towns.

Describe the coordination goals and process:

The Lead Agency works closely with several counties throughout the state to address child care needs. The Lead Agency has analyzed data throughout the state to identify communities and counties that lack regulated child care. In addition, as part of Utah's efforts to reduce intergenerational poverty, several counties with limited child care are prioritizing increasing the number of child care providers in rural communities. For example, in Kane County where there are high rates of children experiencing intergenerational poverty, there are no licensed child care providers. This County established a priority to increase the number of regulated child care providers in its community. The Lead Agency's Child Care Resource & Referral Agency (CCR&R), Care About Childcare-Five County, is working with the community to develop plans to increase access to child care. A similar effort is being made by other CCR&R agencies to partner with county leadership to develop a network of child care providers.

- (REQUIRED) State Advisory Council on Early Childhood Education and Care (or similar coordinating body) (pursuant to 642B(b)(1)(A)(i) of the Head Start Act).

Describe the coordination goals and process:

The Lead Agency has two voting positions on the State Advisory Council, Early Childhood Utah. The CCDF Administrator currently serves as ECU's co-chair. This

close relationship with ECU ensures coordination on issues related to child care, including expanding access, aligning services and linking comprehensive services to children in child care settings. ECU includes members from the following early childhood programs: Home Visiting, Baby Watch Early Intervention, Head Start Association, Utah Association for the Education of Young Children, the Utah State Board of Education, organizations representing children with disabilities and children's advocacy organizations. ECU and the Lead Agency have established priorities to ensure the needs of young children are met in a comprehensive and coordinated way across systems. Through its subcommittees, ECU is assisting the Lead Agency in developing policies regarding expulsion and suspension policies; connecting families receiving child care to developmental screenings and utilizing data to identify programmatic gaps for young children throughout the state.

- [Check here if the Lead Agency has official representation and a decision-making role in the State Advisory Council or similar coordinating body.](#)
- [\(REQUIRED\) Indian tribe\(s\) and/or tribal organization\(s\), at the option of individual tribes.](#)

[Describe the coordination goals and process, including which tribe\(s\) was consulted:](#)

By state law, the Lead Agency is advised by the Office of Child Care Advisory Committee. Although tribes do not have a designated seat on the committee, the Lead Agency has asked the tribes to have a representative on that committee. Currently, the Ute Tribe is represented on the committee but has not been actively involved. In addition, the tribes were notified and asked to participate on the State Plan Steering Committee meeting to ensure coordination in the delivery of child care to children throughout the state regardless of whether those children are members of a tribe. In addition, the Lead Agency prioritizes communicating with the tribes in its region at least annually to discuss child care needs. Those tribes include the following: Paiute, Goshute, Ute and Northwest Band of the Shoshone Nation. In addition, the Lead Agency has visited with the Utah Navajo Commission to invite partnership on child care related issues despite the Navajo Nation being served in a different region. At this point, the goals of the coordination have included partnership on ensuring background check requirements are met. The Lead Agency has Memorandum of Understanding with the Paiute and Goshute Tribes to conduct background checks for providers on reservations. An additional goal is to coordinate on the approval of the State Plan. The Lead Agency notifies the tribes in the state of changes and drafts of

the State Plan to allow for feedback and consultation.

N/A-There are no Indian tribes and/or tribal organizations in the State.

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

Describe the coordination goals and process:

In addition to having a member representing families with disabled children on its OCC Advisory Committee, the Lead Agency serves on the State Advisory Council with members responsible for programs with special needs. Specifically, the members of the State Advisory Council include those representing programs authorized under the Individuals with Disabilities Education Act, Part B and Part C. Through these committees, there have been shared goals around conducting developmental screenings for children in child care, as well as increasing access to child care for children with disabilities. Through these consultations, the Lead Agency discovered that several providers claimed to serve children with disabilities but when contacted by families stated they were not equipped to serve these children. As a result, the goal is to ensure providers are accurately reporting they are serving children with special needs and have the proper training to do so.

(REQUIRED) State/territory office/director for Head Start state collaboration.

Describe the coordination goals and process:

The Head Start Collaboration Office is located within the Lead Agency and is a member of the OCC staff. As a result, the Head Start Collaboration Office works closely with OCC to ensure children in child care and Head Start have access to full-day care, when possible. In addition, the Head Start Collaboration Office and the Lead Agency have established the following goals: support children transitioning to public school in kindergarten, Head Start grantees becoming licensed, and increasing quality through participation in Utah's Quality Rating and Improvement System, once it is developed.

(REQUIRED) State agency responsible for public health, including the agency responsible for immunizations.

[Describe the coordination goals and process:](#)

The Lead Agency coordinates with the Utah Department of Health through participation on the State Advisory Council, ECU. In addition, coordination takes place through Child Care Licensing, also within the Department of Health. This coordination ensures that the health needs of children in child care are met through the establishment of licensing policy that ensures child care settings are healthy and safe. This coordination also allows the development of policies relating to immunizations that meet the needs of vulnerable children, including children experiencing homelessness, living in foster care and immigrant children. Again, the coordination goals ensuring the child care settings are healthy and safe.

[\(REQUIRED\) State/territory agency responsible for employment services/workforce development.](#)

[Describe the coordination goals and process:](#)

The Lead Agency also serves as the agency responsible for employment services and workforce development. This includes unemployment, re-employment, administration of the TANF grant, WIOA and Wagner-Peyser programs. As a result, there is close coordination between the Lead Agency's division responsible for employment services and workforce development, and the Office of Child Care. Specifically, the Lead Agency operates over twenty-five employment centers throughout Utah. In each of the centers, staff works with families with child care needs to assist them in enrolling in child care, as well as providing resources to parents to locate child care programs throughout Utah. Additionally, the Lead Agency has an internal working group devoted to coordination across employment, workforce development and child care. Twice per month, this group evaluates policies, statutes and rules related to the programs. This close coordination ensures that Utahns receiving employment services are connected to quality child care and child care customers who lose employment are directly connected to the Lead Agency's re-employment services. This close coordination not only improves service delivery to eligible families, it also ensures that the new requirements of CCDF Reauthorization have been implemented in an effective way while meeting the intent of the Act to expand accessibility throughout Utah. The coordination also ensures continuity of care through implementation of policies that promote that continuity. The goal of this close coordination is to expand access to high-quality child care to parents receiving employment services. It also serves to align and coordinate services for these families and links comprehensive services to

families.

(REQUIRED) State/territory agency responsible for public education, including prekindergarten (preK).

Describe the coordination goals and process:

The Utah State Board of Education (USBE) is represented on the Lead Agency's Advisory Committee. The representative on that committee is responsible for public education's role in prekindergarten. The Lead Agency is responsible for prekindergarten offered through private child care, non-profits and online education providers. The USBE coordinates with the Lead Agency in meeting the educational needs of children, kindergarten through twelfth grade, although it includes increasing coordination in prekindergarten despite being outside its constitutional authority. The coordination includes supporting prekindergarten students in their transition to kindergarten, development of the state's Early Learning Guidelines, establishing high-quality afterschool programs and evaluating quality of prekindergarten programs across the state. There are two primary goals of this coordination. First, with respect to young children, the goal of the coordination is to ensure children in child care are ready to enter the public education system in kindergarten by establishing standards of quality in both the public and private systems. The second goal is to ensure that all programs providing out-of-school time services are high quality. In all instances, the Lead Agency and USBE utilize the same observation tools to improve quality in programs.

(REQUIRED) State/territory agency responsible for child care licensing.

Describe the coordination goals and process:

The Lead Agency coordinates with the Utah Department of Health, Bureau of Child Development, Child Care Licensing Program (CCL) on an ongoing and regular basis. This close coordination ensures that all child care programs receiving CCDF are meeting all licensing requirements. In addition, CCL is conducting a review of quality indicators identified by the Lead Agency as important to establishing a quality environment and a component of the Lead Agency's, Child Care Quality System. Additionally, CCL provides technical assistance to providers failing to meet licensing requirements, thereby improving the health and safety of the children in their care. Moreover, CCL has worked to meet the requirements of CCDF through the re-design of its data system that allows parents to review the licensing reports of all child care

providers in a user-friendly manner. The CCL data system communicates directly with the Lead Agency's data system to ensure that providers receiving subsidy payments are meeting all CCDF health and safety requirements, monitoring requirements, and background check requirements. The close coordination also includes the director of CCL serving as a member on the Lead Agency's Advisory Committee. The goals of the coordination between the Lead Agency and CCL is to ensure that all families utilizing child care have access to child care settings that are meeting the health and safety needs of children.

- (REQUIRED) State/territory agency responsible for the Child and Adult Care Food Program (CACFP) and other relevant nutrition programs.

Describe the coordination goals and process:

The Lead Agency coordinates with the Child and Adult Care Food Program administered through the Utah State Board of Education to ensure that child care programs participate in the program. This coordination has recently expanded to the participation of afterschool programs to ensure eligible programs receive resources to provide snacks and dinner to children. In addition, through Care About Childcare, the Lead Agency shares information with families and providers regarding the availability of food during the summer when children are not in school. The goal of the coordination is to ensure all eligible child care providers and out-of-school time programs are participating in the CACFP so children have their nutritional needs met and programs have additional resources available to provide high-quality child care.

- (REQUIRED) McKinney-Vento state coordinators for homeless education and other agencies providing services for children experiencing homelessness and, to the extent practicable, local McKinney-Vento liaisons.

Describe the coordination goals and process:

The Lead Agency coordinates with the McKinney-Vento state coordinators through the Utah State Board of Education's involvement on the OCC Advisory Committee. In addition, the Lead Agency includes the state's Division of Housing and Community Development. This division is engaged in serving Utah's homeless population and supporting homeless service providers. As a result, child care is incorporated in discussions with serving the needs of families experiencing homelessness. In addition, the Lead Agency has homeless outreach workers located in shelters and housing sites throughout the State to assist families who are homeless or facing eviction. The

workers are trained to assist families in obtaining employment and applying for various types of assistance. Connecting families to child care assistance, Child Care Resource and Referral agencies and other child care services is an important component of this homeless outreach initiative. Additionally, the Utah Office of Child Care regularly presents child care assistance and resource information at homeless conferences and coordinates with the outreach teams located at the shelters. The goal of the coordination across these agencies is to ensure children experiencing homelessness have access to high-quality child care and education programs.

(REQUIRED) State/territory agency responsible for the Temporary Assistance for Needy Families program.

Describe the coordination goals and process:

The Lead Agency is responsible for TANF. As with the division responsible employment and workforce development, there is close coordination between the Lead Agency divisions responsible for TANF and child care. Specifically, the Lead Agency operates over twenty-five employment centers throughout Utah. In each of those centers, TANF caseworkers work with families with child care needs to assist them in enrolling in child care, as well as providing resources to parents to locate child care programs throughout Utah. Additionally, the Lead Agency has an internal working group devoted to coordination across TANF and child care. Twice per month, this group evaluates policies, statutes and rules related to the programs. This close coordination ensures that Utahns receiving TANF, as well as programs serving TANF-eligible families are connected to quality child care. The goal of this coordination is to expand access to high-quality child care to TANF-eligible families. It also ensures alignment and coordination of services for these families, including linking them to comprehensive services.

(REQUIRED) Agency responsible for Medicaid and the state Children's Health Insurance Program.

Describe the coordination goals and process:

In addition to serving as the Lead Agency for CCDF, it is responsible for determining eligibility for Medicaid and the Children's Health Insurance Program. As a result, there is close coordination between the child care program and these public health insurance programs. Similar to workforce, employment and TANF, the Lead Agency has an internal working group devoted to coordination across child care and medical

care. Twice per month, this group evaluates policies, statutes and rules related to the eligibility requirements of these programs. In addition, the CCDF Administrator and their director of the Eligibility Services Division meet monthly to discuss eligibility policies and coordination across programs. The goal of the coordination is to ensure that families with young children are receiving the health care needed to support the child's healthy development and also ensure the parents' health care needs are met. The Lead Agency meets this goal through a coordinated eligibility system that includes a common application for all public programs.

(REQUIRED) [State/territory agency responsible for mental health](#)

[Describe the coordination goals and process:](#)

The Lead Agency coordinates with the Department of Human Services, the state agency responsible for behavioral health, including the needs of families interacting with the child welfare system. The OCC Advisory Committee includes a member representing DHS. The goal of coordination is to ensure that child care providers have the skills to support the behavioral health care needs of children in their care.

(REQUIRED) [Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development.](#)

[Describe the coordination goals and process:](#)

Utah's network of Child Care Resource & Referral agencies, its Utah Registry of Professional Development and the Care About Childcare consumer education website are all directed by the Lead Agency through contractual relationships. The Lead Agency funds six CCR&Rs, referred to as Care About Childcare (CAC) These agencies are directly involved in the child care program. The agencies provide consumer education for parents; training classes for providers to align with Utah's Career Ladder and CCL training requirements; provide extensive resources to parents and providers regarding the importance of high-quality child care; and assist providers to become licensed. Through its coordination with the CACs, the Lead Agency meets several of its responsibilities under CCDF. There are several goals associated with this coordination, including the following: providing quality child care across a variety of settings; providing comprehensive training to child care providers regarding quality child care including care to vulnerable populations; and enhancing and aligning quality services by ensuring a well trained workforce. All of the activities of the CACs

ultimately expand access to quality child care throughout Utah.

- (REQUIRED) Statewide afterschool network or other coordinating entity for out-of-school time care (if applicable).

Describe the coordination goals and process:

The Lead Agency coordinates with the Utah Afterschool Network (UAN) through a contractual agreement that ensures afterschool programs are high quality through ongoing technical assistance and professional development opportunities. The Lead Agency and UAN coordinate the delivery of these services to programs receiving CCDF to improve the quality of their programs. The goal of the coordination is to ensure out-of-school time programs are high-quality through providing prevention, enrichment and academic programming to children.

- (REQUIRED) Agency responsible for emergency management and response.

Describe the coordination goals and process:

The Lead Agency coordinates with the state's Emergency Management division. This division worked closely with the Lead Agency to develop its CCDF Emergency Preparedness plan. Additionally, the division and the Lead Agency have coordinated to ensure that the OCC emergency preparedness plan and the child care program is included in the state's COOP. This relationship is ongoing. Additional information pertaining to the coordination is described in Section 1.8. The goal of the coordination is to ensure that in the case of an emergency, the needs of families receiving child care and child care providers are part of the emergency response.

The following are examples of optional partners a state might coordinate with to provide services. Check all that apply.

- State/territory/local agencies with Early Head Start - Child Care Partnership grants.

Describe

The Lead Agency collaborates closely with Early Head Start-Child Care Partnership grantees. The Lead Agency continues to assist those partnerships in navigating the eligibility requirements for families to receive child care subsidy, thereby ensuring families maintain eligibility to continue participating in programs. Although the Lead Agency is not changing eligibility requirements, it did eliminate co-payments for

families at or below 100 percent of the Federal Poverty Line (FPL) to better coordinate with Head Start requirements. In addition, the Lead Agency continues to work closely with partnerships to help them and the families navigate the extensive requirements of the subsidy program to ensure subsidy remains, when possible.

[State/territory institutions for higher education, including community colleges](#)

[Describe](#)

The Lead Agency, through its Head Start Collaboration Director, established Early EdU, which involves working closely with Utah institutes of higher education to participate in the National Center for Quality Teaching and Learning National Consortia. Through this partnership, Early EdU is providing access to higher education for child care caregivers through online coursework that has been approved by the Consortia. In addition, the Lead Agency is supporting the T.E.A.C.H. program, which is currently offered through Salt Lake Community College with plans to expand to Southern Utah University.

[Other federal, state, local, and/or private agencies providing early childhood and school-age/youth-serving developmental services.](#)

[Describe](#)

[State/territory agency responsible for implementing the Maternal and Child Home Visitation programs grant.](#)

[Describe](#)

[Agency responsible for Early and Periodic Screening, Diagnostic, and Treatment.](#)

[Describe](#)

[State/territory agency responsible for child welfare.](#)

[Describe](#)

[State/territory liaison for military child care programs.](#)

[Describe](#)

Provider groups or associations.

Describe

The Lead Agency coordinates closely with both the Utah Private Child Care Association and the Private Family Child Care Association. Both associations have representatives on the Lead Agency's Advisory Committee. In addition, the Lead Agency has solicited these associations' involvement on the development of its Child Care Quality System.

Parent groups or organizations.

Describe

Other.

Describe

1.5 Optional Use of Combined Funds, CCDF Matching and Maintenance-of-Effort Funds

Optional Use of Combined Funds:

States and territories have the option to combine CCDF funds with any program identified as required in 1.4.1. These programs include those operating at the federal, state, and local levels for children in preschool programs, tribal early childhood programs, and other early childhood programs, including those serving infants and toddlers with disabilities, children experiencing homelessness, and children in foster care (658E(c)(2)(O)(ii)). Combining funds could include blending multiple funding streams, pooling funds, or layering funds together from multiple funding streams to expand and/or enhance services for infants, toddlers, preschoolers and school-age children and families to allow for the delivery of comprehensive quality care that meets the needs of children and families. For example, state/territory agencies may use multiple funding sources to offer grants or contracts to programs to deliver services; a state/territory may allow a county/local government to use coordinated funding streams; or policies may be in place that allow local programs to layer CCDF funds with additional funding sources to pay for full-day, full-year child care that meets Early Head Start/Head Start Program Performance Standards or state/territory prekindergarten requirements in addition to state/territory child care licensing requirements.

As a reminder, CCDF funds may be used in collaborative efforts with Head Start programs to

provide comprehensive child care and development services for children who are eligible for both programs. In fact, the coordination and collaboration between Head Start and CCDF is strongly encouraged by sections 640(g)(1)(D) and (E); 640(h); 641(d)(2)(H)(v); and 642(e)(3) of the Head Start Act in the provision of full working day, full calendar year comprehensive services. To implement such collaborative programs, which share, for example, space, equipment, or materials, grantees may layer several funding streams so that seamless services are provided (Policy and Program Guidance for the Early Head Start ' Child Care Partnerships:

https://www.acf.hhs.gov/sites/default/files/occ/acf_im_ohs_15_03.pdf).

1.5.1 Does the Lead Agency choose to combine funding for CCDF services for any required early childhood program (98.14(a)(3))?

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No (If no, skip to question 1.5.2)

Yes. If yes, describe at a minimum:

a) How you define "combine"

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

b) Which funds you will combine

The Lead Agency combines the following funds: Head Start, TANF, CCDF, state general funds and local public funding.

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

The primary goals of combining funding are as follows: (1) increasing subsidy reimbursement rates to increase quality in child care programs throughout Utah; (2) expand programming throughout the state through grant opportunities; (3) smoothing transitions for children from preschool to kindergarten; and (4) expanding access for low-income children to high-quality preschool.

d) How you will be combining multiple sets of funding, such as at the State/Territory level, local level, program level?

The Lead Agency primarily combines CCDF and TANF to enhance the child care subsidy program and meet the requirements of CCDF Reauthorization. These combined funds allow the Lead Agency to provide a subsidy reimbursement rate sufficient to improve quality in child care programs serving large numbers of children eligible for child care subsidies. TANF is also combined with CCDF to provide grants to providers to improve quality in programs, extend, and increase services to vulnerable populations. Finally, as required by direction of the Utah Legislature, TANF is used to increase access for low-income four year old children to high-quality preschool. CCDF is combined with state funds in two ways: (1) increase state capacity to provide high-quality preschool to economically disadvantaged children; and (2) provide access to high-quality afterschool programs for school-age children who are either low-income or experiencing intergenerational poverty. Finally, CCDF is combined with local, public funding, enabling the Lead Agency to increase access to high-quality school-age programs throughout the state, as well as leverage CCDF matching funds.

e) How are the funds tracked and method of oversight

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

1.5.2 Which of the following funds does the Lead Agency intend to use to meet the CCDF matching and MOE requirements described in 98.55(e) and 98.55(h)?

Note:

The Lead Agency must check at least public and/or private funds as matching, even if preK funds also will be used.

Use of PreK for Maintenance of Effort: The CCDF final rule clarifies that public preK funds may also serve as maintenance-of-effort funds as long as the state/territory can describe how it will coordinate preK and child care services to expand the availability of child care while using public preK funds as no more than 20 percent of the state's or territory's maintenance of effort or 30 percent of its matching funds in a single fiscal year (FY) (98.55(h)). If expenditures for preK services are used to meet the maintenance-of-effort requirement, the state/territory must certify that it has not reduced its level of effort in full-day/full-year child care services (98.55(h)(1); 98.15(a)(6)).

Use of Private Funds for Match or Maintenance of Effort: Donated funds do not need to be under the administrative control of the Lead Agency to qualify as an expenditure for federal match. However, Lead Agencies do need to identify and designate in the state/territory Plan the donated funds given to public or private entities to implement the CCDF child care program (98.55(f)).

Effective Date: 10/01/2018

N/A - The territory is not required to meet CCDF matching and MOE requirements

Public funds are used 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 the source of funds:

General Funds, other public funds expended by counties, cities and school districts.

-- If known, identify the estimated amount of public funds that the Lead Agency will receive: \$ 8,800,000 to meet the matching requirement.

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

-- If checked, are those funds:

donated directly to the State?

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

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

Boys and Girls Club of Greater Salt Lake (LeAnn Saldivar), 179 East 5065 South,

Murray, Utah 84107; Boys and Girls Club of Northern Utah (JeuneElle Jefferies), 641 East 200 North, Brigham City, Utah 84032; Boys and Girls Club of Utah County (David Bayles) 1841 North 1120 West, Provo, Utah 84606; Boys and Girls Club of Weber-Davis (Kathleen Bideaux) 2302 Washington Boulevard, Suite 200, Ogden, Utah 84401. The Boys and Girls Club is a non-profit that provides afterschool programming and activities to school age children.

United Way of Salt Lake (Katherine Bark), 257 East 200 South, Suite 300, Salt Lake City, Utah 84111. The United Way of Salt Lake is a non-profit philanthropic organization that supports schools serving high rates of low-income children, including afterschool programming.

Youth Impact (Nicole Hall) 2305 Grant Avenue, Ogden, Utah 84401. Youth Impact is a non-profit organization that provides afterschool programming and out-of-school time programming in Ogden, Utah. It serves inner city communities in Ogden.

YMCA of Northern Utah (Carol Beddome) 3216 S. Highland Drive, Suite 200, Salt Lake City, Utah 84106. YMCA of Northern Utah is a non-profit organization affiliated with the YMCA. YMCA of Northern Utah provides afterschool and out-of-school time services, as well as preschool and other programs with the purpose of nurturing children, promoting healthy living and fostering social responsibility.

-- If known, identify the estimated amount of private donated funds that the Lead Agency will receive: \$ 3,895,000 estimated amount

State expenditures for preK programs are used to meet the CCDF matching funds requirement.

If checked, provide the estimated percentage of the matching fund requirement that will be met with preK expenditures (not to exceed 30 percent): 30 percent

-- If the percentage is more than 10 percent of the matching fund requirement, describe how the State will coordinate its preK and child care services:

Given that the percentage of state expenditures exceeds 10 percent, the Lead Agency coordinates child care services with the preschool expenditures in the following ways. First, child care programs are eligible to receive state funds through grants to improve quality, expanding the number of children served in high-quality preschool classrooms

and evaluating the level of quality in the preschool classrooms of private child care providers. In addition, the Lead Agency has leveraged the matching funds to issue a preschool quality improvement grant to private child care providers that parallels state law. This will allow private child care providers to increase their program quality thereby allowing them to access state funds to expand the number of low-income children served in these programs.

-- If known, identify the estimated amount of preK funds that the Lead Agency will receive for the matching funds requirement: \$ 3,700,000

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

The Lead Agency and the state ensures that preK programs meet the needs of working parents by providing funding to preK programs operating in both the public and private sector. This ensures working parents have the ability to select a preK program that supports their work schedules. In addition, the Lead Agency provides necessary resources to private child care providers to provide high-quality care to preschool students attending the program for a full day.

State expenditures for preK programs are used to meet the CCDF maintenance-of-effort 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 98.55(h)(1) and 98.15(6).

No

Yes

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

The Lead Agency and the state ensures that preK programs meet the needs of working parents by providing funding to preK programs operating in both the public and private sector. This ensures working parents have the ability to select a preK program that supports their work schedules. In addition, the Lead Agency provides necessary resources to private child care providers to provide high-quality care to preschool students attending the program for a full day.

-- Estimated percentage of the MOE Fund requirement that will be met with preK expenditures (not to exceed 20 percent): 20 percent

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

Given that the percentage of state expenditures exceeds 10 percent, the Lead Agency coordinates child care services with the preschool expenditures. Child care programs are eligible to receive state funds through grants to improve quality, expanding the number of children served in high-quality preschool classrooms and evaluating the level of quality in the preschool classrooms of private child care providers.

-- If known, identify the estimated amount of preK funds that the Lead Agency will receive for the MOE Fund requirement: \$ 895,000

1.6 Public-Private Partnerships

Lead Agencies are required to describe how they encourage public-private partnerships among other public agencies, tribal organizations, private entities, faith-based organizations, businesses or organizations that promote business involvement, and/or community-based organizations to leverage existing service delivery (i.e., cooperative agreement among providers to pool resources to pay for shared fixed costs and operation) (658E(c)(2)(P)). ACF expects these types of partnerships to leverage public and private resources to further the goals of the CCDBG Act. Lead Agencies are required to demonstrate how they encourage public-private partnerships to leverage existing child care and early education service-delivery systems and to increase the supply and quality of child care services for children younger than age 13, for example, by implementing voluntary shared service alliance models (98.14(a)(4)).

1.6.1 Identify and describe the entities with which and the levels at which the state/territory is partnering (level-state/territory, county/local, and/or programs), the goals of the partnerships, the ways that partnerships are expected to leverage existing service-delivery systems, the method of partnering, and examples of activities that have resulted from these partnerships (98.16(d)(2)).

The Lead Agency has several partnerships among state agencies, local public agencies, private entities, and community-based organizations to leverage existing service delivery

systems and to increase the supply, access and quality of child care services for children through age 12. The following describes those partnerships and outlines the goals of the partnerships.

School-Age Quality Program Expansion: The Lead Agency is engaged in several partnerships to increase access to high-quality, school- age child care programs throughout the state. The commitment to increasing access to school- age program has led to the establishment of programs in vulnerable populations throughout the state, including schools serving a large share of intergenerational poverty children. Entities and the corresponding levels at which the Lead Agency is partnering, include the following: Utah State Board of Education (USBE) (state level); various community-based organizations; Utah Afterschool Network (UAN) (community-based organization); and various local governments (county/local). The goal of these partnerships is to ensure that school-age children have access high-quality, school-age programming regardless of the community in which they reside. Examples of the Activities of the partnerships: These partnerships are sharing data across systems to ensure that resources are properly leveraged to the appropriate communities. For example, through a needs assessment and mapping of afterschool program services, two rural counties with high rates of intergenerational poverty were selected to establish afterschool programs. Another example of the activities of the partnership involves providing valuable professional development and technical assistance to school-age providers. Through the partnership with USOE and UAN, the Lead Agency is leveraging existing services to increase the quality of child care providers. Together, the partnership ensures that school-age providers receive ongoing professional development and receive technical assistance to improve the quality of their school-age programs.

Refugee Child Care Program: The Lead Agency is engaged in a partnership to ensure that refugee children have access to high-quality child care, while their parents are assimilating to their new country and attaining job skills. Entities and the corresponding levels at which the Lead Agency is partnering, include the following: The Church of Jesus Christ of Latter-Day Saints (faith-based organization); Office of Refugee Services (state level); Utah Community Action (community-based organization); Salt Lake Community College (county/local); Salt Lake County (county/local); and The Children's Services Society (non-profit and CCR&R agency). There are two goals of the partnership. The first goal is to increase quality of child care services to refugee children, through age 12. The second goal is to ensure that child care providers who are refugees receive professional development and hands-on training to

understand the child care system in the United States and Utah. This goal also includes moving these providers, who are largely FFN, to become licensed child care providers. Examples of Activities for the Partnerships: The Lead Agency has established a drop-in child care program for parents receiving training at the Refugee Education and Training Center. The drop-in center is operated by The Children's Services Society, one of the Lead Agency's CCR&Rs. CSS uses this drop-in center to provide training and professional development to refugee child care providers to ensure the providers understand health and safety requirements, social-emotional development of children, and the importance of high-quality child care. The partnership organizes in-person training at The Refugee Education and Training Center. It also provides support to ensure providers either become licensed family providers or regulated FFN providers. A second example of the partnership is the development of child care and Head Start program located at The Refugee Education and Training Center. Currently, Utah Community Action is operating Head Start and Early Head Start at the Center to ensure refugee families attending training classes have a high-quality program in which to enroll their children. Head Start utilizes the facility during normal program hours, and a private child care provider will operate the program during non-traditional hours while classes are held at the training center.

Increasing Access to High-Quality Preschool: The Lead Agency is involved in public-private partnership to increase access for economically disadvantaged children to attend high-quality preschool. Entities and the corresponding levels at which the Lead Agency is partnering, include the following: USBE (state level); Granite School District (county/local); United Way of Salt Lake (community-based organization); Goldman-Sachs (private entity); and Pritzker Foundation (private entity). The goal of the partnership is to increase the capacity of high-quality preschool programs throughout Utah, thereby ensuring that economically disadvantaged children have access to high-quality programs that will prepare them for kindergarten. Examples of the Partnership: The Lead Agency and USBE are working together to leverage state funds to provide grants to private child care providers and school districts to implement ten components of a high-quality preschool program, as established in Utah Code. Providers eligible to receive grants through the partnership must be serving economically disadvantaged children. In addition, the Lead Agency is responsible for partnering with a private entity to serve as a Program Intermediary for the state's preschool Pay for Success program. This will include soliciting private investment resources to fund scholarships for low-income four year olds to attend preschools that are meeting certain outcome measures.

Improving Professional Development in Child Care: The Lead Agency is engaged in a public-private partnership to improve the professional development of child care providers. Entities and the corresponding levels at which the Lead Agency is partnering, include the following: Utah Association for the Education of Young Children (UAEYC) (community-based organization); The Children's Center (private entity); Utah Private Child Care Association (non-profit); Private Family Child Care Association (non-profit); Utah Registry of Professional Development (state level); Utah Academy of Pediatrics; and Care About Childcare (state level and local level). The goal of this partnership is to increase the quality of child care through providing extensive and affordable professional development opportunities to providers. Moreover, the partnership leverages existing professional development resources to provide opportunities to Tribal child care providers, without establishing a separate professional development structure for those providers. Examples of the partnership include the Early Childhood Conference, which is organized each year by UAEYC. The conference provides an opportunity for child care providers throughout the state to convene and learn best practices in child care, focusing on child development. Similar conferences are conducted in the rural communities served by the CACs in those regions of Utah. Each year, two of the CACs organize and conduct professional development conferences for all types of providers, including Tribal, center, and family providers. The fees are heavily subsidized and continuing education credits are awarded. A second example of the partnership involves connecting providers serving Tribal programs to the Lead Agency's, Care About Childcare training classes. Tribal programs receive notices of the training schedule and are encouraged to participate in classes.

Effective Date: 10/01/2018

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

Lead Agencies may use CCDF funds to establish or support a system of local or regional child care resource and referral (CCR&R) organizations that is coordinated, to the extent determined by the state/territory, by a statewide public or private non-profit, community-based or regionally

based, lead child care resource and referral organization (such as a statewide CCR&R network) (658E(c)(3)(B)(iii); 98.52).

- If Lead Agencies use CCDF funds for local CCR&R organizations, the local or regional CCR&R organizations supported by those funds must, at the direction of the Lead Agency, provide parents in the State with consumer education information concerning the full range of child care options (including faith-based and community-based child care providers), analyzed by provider, including child care provided during non-traditional hours and through emergency child care centers, in their area.
- To the extent practicable, work directly with families who receive assistance to offer the families support and assistance to make an informed decision about which child care providers they will use to ensure that the families are enrolling their children in the most appropriate child care setting that suits their needs and one that is of high quality (as determined by the Lead Agency).
- Collect data and provide information on the coordination of services and supports, including services under Section 619 and Part C of the Individuals with Disabilities Education Act;
- Collect data and provide information on the supply of and demand for child care services in areas of the state and submit the information to the State;
- Work to establish partnerships with public agencies and private entities, including faith-based and community-based child care providers, to increase the supply and quality of child care services in the state and, as appropriate, coordinate their activities with the activities of the state Lead Agency and local agencies that administer funds made available through CCDF (98.52(b)).

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

Note: Use 1.7.1 to address if a state/territory funds a CCR&R organization, what services are provided and how it is structured and use section 7.6.1 to address the indicators of progress met by CCR&R organizations if they are funded by quality set-aside funds.

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

Effective Date: 10/01/2019

- No. The state/territory does not fund a CCR&R organization(s) and has no plans to establish one.
- Yes. The state/territory funds a CCR&R system. If yes, describe the following:

a) What services are provided through the CCR&R organization?

The Lead Agency's statewide network of Child Care Resource and Referral agencies, Care About Childcare (CAC), provide families with a full range of child care options and information, made possible through the utilization of shared access statewide databases. The information provided includes a search feature on the CAC website, allowing parents to evaluate the availability of child care, type of child care, hours of operation, licensing and monitoring history and locations of child care providers within a geographic radius of the parents' work or home. As of October 1, 2019, program's certified quality ratings in the Child Care Quality System are posted in the CAC website parent search. An explanation of the meaning of each rating is linked through the website. The information also includes quality activities in which providers are participating, resources to assist in selecting high-quality providers, care for children with disabilities, ages of children in care and care during non-traditional hours.

Additionally, to address issues for parents concerned about their child's development or to help them find resources for children with disabilities, the CAC website contains a link to Baby Watch. Baby Watch is Utah's Early and Periodic Screening, Diagnosis and Treatment program under the Medicaid program carried out under Title XIX of the Social Securities Act, and developmental screening services available under section 619 and part C of the Individuals with Disabilities Education Act (IDEA).

The CAC agencies also provide consumer education materials in person, on the phone or through email correspondence. Materials sensitive to levels of literacy and English language learners are available and disseminated to consumers to help them make an informed decision. The CAC agencies track and maintain data regarding the supply and demand for child care in local areas and regions. Each CAC Agency is tasked with the recruitment and retention of child care providers and for making its services known to the community. Agencies also survey providers annually regarding

their training needs and overall satisfaction with the Lead Agency, and the local CAC agency within each service delivery area.

Additionally, the CAC agencies are required to administer grant programs to assist providers. Specifically, the agencies administer a grant that supports providers in participating in the Lead Agency's Quality Indicator Program. The agencies also administer a grant that supports family providers in becoming licensed. The grant assists in offsetting the costs of meeting the state's licensing requirements. The CAC agencies are responsible for delivering quality training to providers in best practices in the early childhood field. Each of the agencies organizes a training calendar with classes that align with Utah's Career Ladder program. This requires the agencies to hire and train the instructors teaching the classes, as well as manage course registration and all activities related to the training program.

Finally, two of the CAC agencies have additional requirements that do not apply to the others. For example, the CAC at Utah State University (USU), administers the Utah Registry for Professional Development (URPD). URPD is responsible for maintaining the provider registry and administering the Career Ladder Program. URPD administers scholarships to child care providers for CDA obtainment; and awards annual wage supplements, which are referred to as Professional Development Incentives.

b) How are CCR&R services organized, include how many agencies, if there is a statewide network and if the system is coordinated?

The Lead Agency funds a statewide CCR&R network. It contracts with six child care resource and referral agencies, referred to collectively as Care About Childcare (CAC). The CAC agencies operate with a common and coordinated scope of work, with a few exceptions noted below. Among the agencies, four of the six are located in higher education institutions. Of the remaining two, one is located in a non-profit organization and the other within a government association. The four located in higher education institutions work under Inter-Agency Agreements with formal contracts. The Lead Agency contracts with the remaining two to work under sub-recipient agreements.

1.8 Disaster Preparedness and Response Plan

Lead Agencies are required to establish a Statewide Child Care Disaster Plan (658E(c)(2)(U)). They must demonstrate how they will address the needs of children'including the need for safe child care, before, during, and after a state of emergency declared by the Governor or a major disaster or emergency (as defined by Section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5122)'through a Statewide Disaster Plan that, for a State, is developed in collaboration with the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(l)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))) or similar coordinating body (98.16(aa)).

1.8.1 Describe how the Statewide Child Care Disaster Plan was developed in collaboration with the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care or similar coordinating body:

The Office of Child Care (Lead Agency) and the Department of Workforce Services' staff members collaborate with members of the Utah Emergency Preparedness Plan Committee to develop the Child Care Disaster Plan. The committee is composed of representatives of the Office of Child Care, the Department of Health (Child Care Licensing), the Department of Public Safety (Emergency Management), the Department of Human Services (Division of Child and Family Services), Care About Childcare Agencies (CCR&Rs), the State Advisory Council (Early Childhood Utah), the Utah Board of Education and the Utah Head Start Collaboration Office. The committee meets to coordinate emergency and disaster preparedness planning efforts and to ensure all possible contingencies are addressed.

Effective Date: 10/01/2018

1.8.2 Describe how the Statewide Disaster Plan includes the Lead Agency's guidelines for the continuation of child care subsidies and child care services, which may include the provision of emergency and temporary child care services during a disaster and temporary operating standards for child care after a disaster:

The Office of Child Care (Lead Agency) provides guidelines for the continuation of child care subsidies and child care services through its CCDF Emergency and Disaster Plan. For emergency or disaster child care subsidy to occur, a disaster or state of emergency must be declared by a federal or state government official. In this circumstance, child care subsidy may be authorized for up to three months. Child care eligibility and participation requirements may be waived during this time period as determined by the Lead Agency's Office of Child Care director or designee. Child care subsidy may be used to provide continuity of care for the children while parents complete necessary tasks as a result of the crisis. Child Care Licensing Specialists in the affected areas assess the needs of child care providers to continue child care that meets health and safety requirements. Programs that are closed due to structural or utility disruption are noted and families are provided alternate program referral information from Care About Childcare agencies (CCR&Rs). Licensing staff will contact the Lead Agency state office to report on the numbers of programs impacted and to what degree. If there is a need for additional child care in the disaster declared areas, Child Care Licensing works with emergency agencies such as the Red Cross to provide care at shelters or other locations, and may also identify providers and other programs to determine whether they can care for additional children of emergency responders.

Effective Date: 10/01/2018

1.8.3 Describe Lead Agency procedures for the coordination of post-disaster recovery of child care services:

After a disaster the Lead Agency shall be involved in coordinating the rebuilding of Utah's child care system. The rebuilding effort will focus on two primary components: (1) rebuilding the network of child care providers; and (2) rebuilding the administrative functions of the child care subsidy program. The Office of Child Care and Utah Child Care Licensing have a

system in place to identify the needs of child care providers following a disaster or emergency, ensuring the needs of children and their families are met. Through a tracking and alert system developed by Care About Childcare agencies (CCR&Rs), child care providers are identified based on proximity to the emergency or disaster and contacted to determine needs and status. Where the child care subsidy system is impacted by an emergency or disaster, the Office of Child Care (Lead Agency) Continuity of Operations Plan (COOP) describes the process of rebuilding. As stated in the COOP, the Department of Workforce Services Assistant Deputy Director will act as the Reconstitution Manager and will focus on reconstitution of the agency during and following any event that causes the activation of the COOP. Additional staff will be assigned to assist with reconstitution as the opportunities become available.

Effective Date: 10/01/2018

1.8.4 Describe how the Lead Agency ensures that providers who receive CCDF funds have the following procedures in place-evacuation; relocation; shelter-in-place; lockdown; communications with and reunification of families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions:

The Lead Agency, through its network of Care About Childcare agencies (CCR&Rs), provides training for child care providers (contractors) to address issues including evacuation, relocation, shelter-in-place, lockdown, communications with and reunification of families, continuity of operations and special procedures/accommodations for infants and toddlers, children with special disabilities and children with chronic medical conditions. Contractors are required by Utah Child Care Licensing to have written Health and Safety Plans which comprehensively covers these disaster preparedness topics. These plans are submitted to Licensing, which confirms that contractors' plans are inclusive of all requirements. In addition, there are also Career Ladder classes offered to all providers, titled "Emergency Preparedness in Child Care Settings." The classes offer the opportunity for provider to learn how to prepare for, survive during, and recover after, emergency situations. The course incorporates the use of the Child Care Licensing Health and Safety Plan, which each provider is required to have, and also includes an Emergency Preparedness Resource

Manual which can also be viewed online: <https://urpd.usu.edu/ou-files/uploads/Emergency%20Preparedness%20Resource%20Manual-1.pdf>.

Effective Date: 10/01/2018

1.8.5 Describe how the Lead Agency ensures that providers who receive CCDF funds have the following procedures in place for child care staff and volunteers-emergency preparedness training and practice drills as required in 98.41(a)(1)(vii):

The Lead Agency, in coordination with Utah Child Care Licensing, requires providers to establish rules for ongoing practice drills, through Utah Administrative Code R38110010. Providers must conduct the following practice drills: monthly fire evacuation drills, as well as drills for disasters other than fires, at least once every six months. These include disaster drills for earthquakes, floods, prolonged power outages and tornadoes. Licensing requires documentation for all practice drills. The Lead Agency coordinates with its Care About Childcare agencies (CCR&Rs) to provide emergency and disaster preparedness training. This training includes resource nights for providers, which include resources and information on the emergency and disaster preparedness requirements. Additionally, the Care About Childcare agencies have revised and updated the statewide emergency preparation course for child care providers, staff and volunteers. The course is titled, "Emergency Preparedness in Childcare Settings," and can be found on page 19 on the list of Utah Approved Career Ladder Courses: <http://urpd.usu.edu/ou-files/uploads/Current%20FACE%20TO%20FACE%20Utah%20Career%20Ladder%20Approved%20Course%20List-%20Updated%20Feb%2026%202018.pdf>.

Licensing rules require providers to conduct emergency fire and disaster evacuation drills including a complete evacuation of all children, staff, and volunteers present during the drill, so everyone involved can participate and be trained by practice. Child Care Licensing Administrative Rules R381-100-14(3) and (5).

Additionally, volunteers must complete at least 1.5 hours of child care training for each month they are involved with the facility for 40 hours or more. The provider is also required to ensure volunteers are trained to be in compliance with all licensing rules including

emergency preparedness training. Child Care Licensing Administrative Rules R381-100-7(1). Annual training topics must include section 14 “Emergency Preparedness and Response” of the licensing rules. Child Care Licensing Administrative Rules R381-100-14(21). During the Annual Announced Inspection, the licensor will review if training topics and hours are complete for all individuals, including volunteers, as required by Child Care Licensing Administrative Rules.

Effective Date: 10/01/2018

1.8.6 Provide the link to the website where the statewide child care disaster plan is available:

The statewide child care disaster plan can be found here:

<https://jobs.utah.gov/occ/occdisaster.pdf>.

Effective Date: 10/01/2018

2 Promote Family Engagement through Outreach and Consumer Education

Lead Agencies are required to support the role of parents as child care consumers who need information to make informed choices regarding the services that best suit their needs. A key purpose of the CCDBG Act is to 'promote involvement by parents and family members in the development of their children in child care settings' (658A(b)). Lead Agencies have the opportunity to consider how information can be provided to parents through the child care assistance system, partner agencies, and child care consumer education websites.

The target audience for the consumer education information includes three groups: parents receiving CCDF assistance, the general public, and when appropriate, child care providers. In this section, Lead Agencies will address how information is made available to families to assist

them in accessing high-quality child care and how information is shared on other financial assistance programs or supports for which a family might be eligible. In addition, Lead Agencies will certify that information on developmental screenings is provided and will describe how research and best practices concerning children's development, including their social-emotional development, is shared.

In this section, Lead Agencies will delineate the consumer and provider education information related to child care, as well as other services, including developmental screenings, that is made available to parents, providers, and the general public and the ways that it is made available. This section also covers the parental complaint process and the consumer education website that has been developed by the Lead Agency and the manner in which it links to the national website and hotline. Finally, this section addresses the consumer statement that is provided to parents supported with CCDF funds.

2.1 Outreach to Families With Limited English Proficiency and Persons With Disabilities

The Lead Agency is required to describe how it provides outreach and services to eligible families with limited English proficiency and persons with disabilities and to facilitate the participation of child care providers with limited English proficiency and disabilities in the CCDF program (98.16(dd)). Lead Agencies are required to develop policies and procedures to clearly communicate program information, such as requirements, consumer education information, and eligibility information, to families and child care providers of all backgrounds (81 FR 67456).

2.1.1 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families for whom English is not their first language. Check all that apply.

Effective Date: 10/01/2018

- Application in other languages (application document, brochures, provider notices)
- Informational materials in non-English languages
- Website in non-English languages
- Lead Agency accepts applications at local community-based locations
- Bilingual caseworkers or translators available

- Bilingual outreach workers
- Partnerships with community-based organizations
- Other.

Describe:

2.1.2 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families with a person(s) with a disability. Check all that apply.

Effective Date: 10/01/2018

- Applications and public informational materials available in Braille and other communication formats for access by individuals with disabilities
- Websites that are accessible (e.g. Section 508 of the Rehabilitation Act)
- Caseworkers with specialized training/experience in working with individuals with disabilities
- Ensuring accessibility of environments and activities for all children
- Partnerships with state and local programs and associations focused on disability-related topics and issues
- Partnerships with parent associations, support groups, and parent-to-parent support groups, including the Individuals with Disabilities Education Act (IDEA) federally funded Parent Training and Information Centers
- Partnerships with state and local IDEA Part B, Section 619 and Part C providers and agencies
- Availability and/or access to specialized services (e.g. mental health, behavioral specialists, therapists) to address the needs of all children
- Other.

Describe:

2.2 Parental Complaint Process

The Lead Agency must certify that the state/territory maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request (658E(c)(2)(C); 98.15(b)(3)). Lead Agencies must also provide a detailed description of the hotline or similar reporting process for parents to submit complaints about child care

providers; the process for substantiating complaints; the manner in which the Lead Agency maintains a record of substantiated parental complaints; and ways that the Lead Agency makes information on such parental complaints available to the public on request (98.16; 98.32).

2.2.1 Describe the Lead Agency's hotline or similar reporting process through which parents can submit complaints about child care providers, including a link if it is a Web-based process:

Parents and others may submit a complaint about a child care provider online by completing the complaint intake form. The online complaint process is found at <https://childcarelicensing.utah.gov/FileComplaint.html> and is accessible on the consumer education website, <https://careaboutchildcare.utah.gov>, and on the Child Care Licensing (CCL) website, <https://childcarelicensing.utah.gov>. They may also call CCL to report a complaint by phone.

Effective Date: 10/01/2018

2.2.2 Describe the Lead Agency's process and timeline for screening, substantiating and responding to complaints regarding CCDF providers, including whether the process includes monitoring:

The Lead Agency contracts with Child Care Licensing (CCL) for its process of screening, substantiating and responding to complaints regarding CCDF providers.

Every complaint received is logged into the CCL database, whether or not the allegations address rule violations. Complaints logged into the database then go to the complaint investigator and their supervisor to be screened.

Both the complaint investigator and the supervisor meet weekly to screen every complaint. They read the complaints and determine if they are to be investigated. If complaints are to be investigated, they decide what priority the investigation should have (depending on the severity of the allegations it can be immediate, within one working day, or within 5, 10, or 30 working days). CCL staff is instructed to alert the complaint investigator and their supervisor right away if they receive a complaint that may pose immediate risk to the children, so that complaint is not pending to be screened but addressed as soon as possible. During the

screening process, they also determine the type of investigation, the questions to be asked, if monitoring is required, and other needed instruction for the complaint investigator to proceed. All of these screening details are part of the database and are recorded in the system.

According to Utah Code §26-39-501, CCL cannot investigate anonymous complaints and complaints with allegations that occurred more than six weeks in the past.

If during the screening the screeners determine that monitoring is required, the complaint investigator is instructed to conduct either an announced or an unannounced inspection. The vast majority of the complaint investigation inspections are done unannounced.

CCL determines whether a complaint is substantiated after an investigation of a complaint is completed. This investigation includes monitoring of the program. Parents are advised to immediately report complaints to CCL or file a police report. A complaint is substantiated when CCL is able to corroborate an alleged violation of state law or department rule. Depending on the outcome of the investigation, a provider may be placed on a conditional license, which requires more frequent monitoring and oversight. Follow-up visits to verify compliance are also required when rule violations are substantiated. The complaint investigator and their supervisor meet after the investigation is completed to determine if more steps need to be completed or if the investigation can be finalized. All complaints are treated the same whether or not the provider receives CCDF funding.

Effective Date: 10/01/2018

2.2.3 Describe the Lead Agency's process and timeline for screening, substantiating and responding to complaints for non-CCDF providers, including whether the process includes monitoring:

The process for screening, substantiating and responding to complaints for non-CCDF providers is identical to the process for CCDF providers. Every complaint received is logged into the CCL database, whether or not the allegations address rule violations. Complaints logged into the database then go to the complaint investigator and their supervisor to be

screened.

Both the compliant investigator and the supervisor meet weekly to screen every complaint. They read the complaints and determine if they are to be investigated. If complaints are to be investigated, they decide what priority the investigation should have (depending on the severity of the allegations it can be immediate, within one working day, or within 5, 10, or 30 working days). CCL staff is instructed to alert the complaint investigator and their supervisor right away if they receive a complaint that may pose immediate risk to the children, so that complaint is not pending to be screened but addressed as soon as possible. During the screening process, they also determine the type of investigation, the questions to be asked, if monitoring is required, and other needed instruction for the complaint investigator to proceed. All of these screening details are part of the database and are recorded in the system.

According to Utah Code §26-39-501, CCL cannot investigate anonymous complaints and complaints with allegations that occurred more than six weeks in the past.

If during the screening the screeners determine that monitoring is required, the complaint investigator is instructed to conduct either an announced or an unannounced inspection. The vast majority of the complaint investigation inspections are done unannounced.

CCL determines whether a complaint is substantiated after an investigation of a complaint is completed. This investigation includes monitoring of the program. Parents are advised to immediately report complaints to CCL or file a police report. A complaint is substantiated when CCL is able to corroborate an alleged violation of state law or department rule. Depending on the outcome of the investigation, a provider may be placed on a conditional license, which requires more frequent monitoring and oversight. Follow-up visits to verify compliance are also required when rule violations are substantiated. The complaint investigator and their supervisor meet after the investigation is completed to determine if more steps need to be completed or if the investigation can be finalized. Again, all complaints are treated the same whether or not the provider receives CCDF funding.

Effective Date: 10/01/2018

2.2.4 Certify by describing how the Lead Agency maintains a record of substantiated parental complaints:

Every complaint received is logged into the CCL database, whether or not the allegations address rule violations. Complaints logged into the database are not deleted, whether or not they are substantiated. In that way, complaints are archived indefinitely in electronic format. Deleting complaints is a restricted feature in the CCL database. Only administrators of the system can delete complaints.

Every complaint entered into the CCL database is maintained in the individual provider's record as part of their licensing history. Only substantiated complaints are part of the provider's public record. Substantiated complaints show in the provider's public record automatically from the CCL database. No other complaints are shared with the public. These records are maintained in the CCL database indefinitely as mandated by the Utah archives system.

Effective Date: 10/01/2018

2.2.5 Certify by describing how the Lead Agency makes information about substantiated parental complaints available to the public; this information can include the consumer education website discussed in section 2.3:

The CCL Program maintains a list of substantiated complaints in its database for all provider types. Substantiated complaints are posted to the public automatically by the CCL database for 36 months. Substantiated complaints are also available to the public upon request by phone or in writing for as long as the facility exists. In addition, parents can view public information regarding licensed providers online through <https://careaboutchildcare.utah.gov>. The Care About Childcare website allows for a search of child care providers in the state. The provider profiles include a direct link to CCL, which includes whether there has been a substantiated parental complaint for a particular provider.

2.2.6 Provide the citation to the Lead Agency's policy and process related to parental complaints:

Complaints about health and safety issues in a child care setting must be reported to Child Care Licensing. Customers may call or file a complaint online. In addition to filing a complaint with Child Care Licensing, abuse and neglect complaints must be referred to the Utah Child Protective Services Child Abuse Intake Hotline or the local law enforcement agency. Citations: DWS Eligibility Manual Section 115. The link to file a complaint and learn more about the online complaint process is found here:

<https://childcarelicensing.utah.gov/FileComplaint.html>

2.3 Consumer Education Website

States and Territories are required to provide information to parents, the general public, and when applicable, child care providers through a State website, which is consumer-friendly and easily accessible (658E(c)(2)(E)(i)(III)). The website must include information to assist families in understanding the policies and procedures for licensing child care providers. The website information must also include provider-specific information, monitoring and inspection reports for the provider, the quality of each provider (if such information is available for the provider), and the availability of the provider (658E(c)(2)(D); 98.33(a)). The website should also provide access to a yearly statewide report on deaths, serious injuries, and the number of cases of substantiated child abuse that have occurred in child care settings. To assist families with any additional questions, the website should provide contact information for local child care resource and referral organizations and any other agencies that can assist families in better understanding the information on the website.

To certify, respond to questions 2.3.1 through 2.3.10 by describing how the Lead Agency meets these requirements and provide the link in 2.3.11. If the Lead Agency has not fully implemented the Consumer Education website elements identified in Section 2.3, then respond to question

2.3.12. Please note that any changes made to the web links provided below in this section after the CCDF Plan is approved will require a CCDF Plan amendment.

2.3.1 Describe how the Lead Agency ensures that its website is consumer-friendly and easily accessible:

The Lead Agency ensures that its website is consumer-friendly and easily accessible in a variety of ways. Most significantly, the website, Care About Childcare (CAC), is reviewed frequently by the Lead Agency and its partners to ensure it is easy to navigate for the user. The user includes providers, parents and the general public. Any necessary changes are made easily and quickly through the Lead Agency's contracted partners within the Utah Department of Technology Services, which operates within the Lead Agency. The CAC website is available for consumers twenty-four hours a day. The website provides information on quality child care in general, as well as specific information regarding what a consumer may want to look for when visiting programs.

In order to support consumers, the website includes a child care provider search feature. All licensed providers with no civil money penalties are featured on the CAC website. Specifically, the search feature allows parents to evaluate several features of a specific provider including the following: the availability of child care; type of child care; hours of operation; whether the provider serves children with disabilities; licensing and monitoring history; and locations of child care providers within a geographic radius of the parent's workplace or home. Parents can also view a program's Child Care Quality System certified quality rating.

In addition, consumers may also utilize the search feature to identify providers that care for children with disabilities; care for infants and toddlers; and provide care during non-traditional hours. License exempt programs and Family, Friend and Neighbor providers may also be searched for in the CAC website to obtain general information about the provider including their licensing record. A consumer may also view a provider's "marketing page". The marketing page is at the option of a provider. For providers with marketing pages consumers can evaluate additional features of a program, including photos of the program, program philosophy, mission statements and other information the provider elects to display.

The website features a parent page which includes links to concise written summaries on

quality child care, checklists for selecting quality child care, as well as short video clips with easy to understand guidance on steps parents should take when choosing care. There is a link for parents to contact their local CAC agency if help from a staff member is preferred. In addition to information on child care programs throughout the state, the website includes information on alternative options for child care, such as Head Start programs and license-exempt, afterschool programs for school-age children. Although the information contained on the website is in English, the website contact page includes phone numbers for individuals that speak Spanish to contact if a parent needs assistance from a Spanish speaker.

Effective Date: 10/01/2019

2.3.2 Describe how the website ensures the widest possible access to services for families that speak languages other than English (98.33(a)):

The Lead Agency ensures that the website is accessible for families that speak languages other than English. Specifically, the website is accessible to Spanish speakers, the predominant language spoken apart from English. The website includes clear instruction for Spanish speakers on its “Contact” page. That page includes a statement in Spanish directing individuals that need assistance to call a phone number where they will be able to receive personal and individualized assistance from someone who speaks Spanish. The assistance provided includes navigation of the website but also any resources an individual may need related to child care.

In addition, when interpretation or language services are not available in a specific language, Care About Childcare agencies contact interpreters through other agencies, including a refugee community center and an interpretive services agency for assistance.

Effective Date: 10/01/2018

2.3.3 Describe how the website ensures the widest possible access to services for persons with disabilities:

The Care About Child Care website ensures the widest possible access to services for people with disabilities through compliance with the American's with Disabilities Act. Specifically, the website was examined by WebAIM.org in 2016 and found to be conformant with Level A and Level AA of the Web Content Accessibility Guidelines, version II. This examination looks at whether or not a website has audio that describes captions appearing in time with speech, assures non-text content has a text alternative, closed caption viewing is available, and other aspects required by the section 508 of the ADA.

Effective Date: 10/01/2018

2.3.4 Lead Agency processes related to child care.

A required component of the consumer education website is a description of Lead Agency policies and procedures relating to child care (98.33(a) (1)). This information includes a description of how the state/territory licenses child care, a rationale for exempting providers from licensing requirements, the procedure for conducting monitoring and inspections of providers, and the policies and procedures related to criminal background checks.

Effective Date: 10/01/2018

a) Provide the link to how the Lead Agency licenses child care providers, including the rationale for exempting certain providers from licensing requirements, as described in section 5.3.6:

The link is <https://careaboutchildcare.utah.gov>. Click on "Parents", then click on "Steps to Choosing Child Care" and scroll to the "Licensing Care Type" section.

The Lead Agency exempts certain child care providers, as required by Utah Code §26-39-403(2). The following describes the programs exempt from licensing and provides the rationale for each exemption. The rationale for exemptions was largely decided by the Legislature and the lead agency cannot speak to their legislative intent in making such

exemptions. It should be noted that Utah requires all programs, license and license-exempt, be subject to health and safety requirements, including annual inspections, background checks and training.

Family, Friend and Neighbor (FFN) includes child care provided in a private home, either the child's home or the provider's home, by a relative, a friend or a neighbor. Care provided in the provider's home or in the child's home for related children only, for less than five non-related children, or for less than four hours per day does not meet the definition of child care that Utah Code uses to give CCL authority to regulate child care providers. Therefore, FFN providers are exempt from all CCL rules. However, since CCDF allows for this provider type to receive subsidies, CCL regulates them as part of their contract with the Lead Agency. All FFN providers receiving CCDF are subject to health and safety inspections conducted by Child Care Licensing. These inspections ensure those homes and the providers are in compliance with similar regulations as other licensed providers, including background checks for all covered individuals. This includes anyone 12 years and older who resides, works or volunteers in the facility, or who has unsupervised access to the children in care, except for parents of the children in FFN settings,

Public, Private, Parochial or Higher Ed Educational Institutions include educational institutions that are license-exempt and operate child care programs for children between the ages of zero and 12. The rationale for excluding these programs from licensing is that children cared for in these settings are not endangered by allowing the exemption. These programs require background screening checks for all covered individuals and require First Aid and CPR training. Additionally, these providers are required to pass health and safety inspections and be in compliance with training, as required by CCDF standards.

Child Care Programs Operated on School Property include programs operating on school property and care for children between the ages of zero and 12. These programs are exempt from licensing because these programs meet similar health and safety requirements as those required of licensed providers. All programs meeting this exemption must ensure that all covered individuals are subject to background checks, as well as complete First Aid and CPR training must be completed. In addition, these providers are required to pass health and safety inspections and be in compliance with training, as required by CCDF standards.

b) Provide the link to the procedure for conducting monitoring and inspections of child care providers, as described in section 5.3.2:

The link is <https://careaboutchildcare.utah.gov>. Complete a provider search. On any provider search page, click on "Care Type Descriptions."

c) Provide the link to the policies and procedures related to criminal background checks for staff members of child care providers and the offenses that prevent individuals from being employed by a child care provider or receiving CCDF funds, as described in sections 5.4.1 and 5.4.11:

<https://careaboutchildcare.utah.gov/pub/BackgroundScreening.pdf>

2.3.5 List of providers

The consumer education website must include a list of all licensed providers and, at the discretion of the Lead Agency, all providers eligible to deliver CCDF services, identified as either licensed or license-exempt. Providers caring for children to whom they are related do not need to be included. The list of providers must be searchable by ZIP Code.

Effective Date: 10/01/2018

a) Provide the website link to the searchable list of child care providers:

<https://careaboutchildcare.utah.gov/parent/search.aspx>

b) In addition to the licensed providers that are required to be included in your searchable list, which additional providers are included in the Lead Agency's searchable list of child care providers (please check all that apply):

- License-exempt center-based CCDF providers
- License-exempt family child care (FCC) CCDF providers
- License-exempt non-CCDF providers
- Relative CCDF child care providers
- Other.

Describe

c) Identify what informational elements, if any, are available in the searchable results.
Note: Quality information (if available) and monitoring results are required on the website but are not required to be a part of the search results.

Licensed Providers

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

Vacancies, area schools, hours of operation, facility wide awards, non-traditional care availability

License-Exempt, non-CCDF Providers

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

License-Exempt CCDF Center Based Providers

- Contact Information
- Enrollment Capacity
- Years in Operation

- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

License-Exempt CCDF Family Child Care

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

Relative CCDF Providers

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

Other.

Describe:

- Contact Information
- Enrollment Capacity
- Years in Operation
- Provider Education and Training
- Languages Spoken
- Quality Information
- Monitoring Reports
- Other.

Describe:

2.3.6 Lead Agencies must also identify specific quality information on each child care provider for whom they have this information. The type of information provided is determined by the Lead Agency, and it should help families easily understand whether a provider offers services that meet Lead Agency-specific best practices and standards or a nationally recognized, research-based set of criteria. Provider-specific quality information must only be posted on the consumer website if it is available for the individual provider.

Effective Date: 10/01/2019

a) How does the Lead Agency determine quality ratings or other quality information to include on the website?

- Quality rating and improvement system
- National accreditation
- Enhanced licensing system
- Meeting Head Start/Early Head Start requirements
- Meeting prekindergarten quality requirements
- School-age standards, where applicable
- Other.

Describe

b) For what types of providers are quality ratings or other indicators of quality available?

Licensed CCDF providers.

Describe the quality information:

The Lead Agency collects quality information on licensed CCDF center providers that choose to participate in the Lead Agency's Child Care Quality System. The quality information that is provided on the Care About Childcare website includes the certified quality rating as well as a consumer education document that describes the attributes of each certified quality rating. Ratings are achieved through the Child Care Quality System, which includes on site unannounced observations.

Licensed non-CCDF providers.

Describe the quality information:

The Lead Agency collects quality information on licensed non-CCDF center providers that choose to participate in the Lead Agency's Child Care Quality System. The quality information that is provided on the Care About Childcare website includes the certified quality rating as well as a consumer education document that describes the attributes of each certified quality rating. Ratings are achieved through the Child Care Quality System, which includes on site unannounced observations.

License-exempt center-based CCDF providers.

Describe the quality information:

License-exempt FCC CCDF providers.

Describe the quality information:

License-exempt non-CCDF providers.

Describe the quality information:

Relative child care providers.

Describe the quality information:

Other.

Describe

2.3.7 Lead Agencies are required to post monitoring and inspection reports on the consumer education website for each licensed provider and for each non-relative provider eligible to provide CCDF services on the consumer education website. These reports must include results of required annual monitoring visits and visits due to major substantiated complaints about a provider's failure to comply with health and safety requirements and child care policies. The reports must be in plain language and be timely to ensure that the results of the reports are available and easily understood by parents when they are deciding on a child care provider. Lead Agencies must post at least 3 years of reports when available, going forward (not retrospectively), beginning October 1, 2018.

Certify by responding to the questions below:

Effective Date: 10/01/2018

a) What is the Lead Agency's definition of plain language and describe the process for receiving feedback from parents and the public about readability of reports.

The Lead Agency ensures that monitoring and inspection reports are written in plain language and works with Child Care Licensing to ensure reports for licensed and license-exempt providers are easy to understand. In 2015, Child Care Licensing revised all of its reports to simplify the language and shorten the reports. The report includes an explanation of licensing language and a description of the inspection types to guide the reader to a better understanding of the report. These revisions included categorizing the levels of severity on findings so that the consumer can evaluate whether a finding jeopardizes the safety of children or simply a technical violation of a licensing rule. The correction date and any other pertinent information about the findings, including any penalties, are also available. The revisions of the reports were reviewed internally by members of the Department to ensure parents and public are able to understand the language, as well as any findings.

Parents and the public are encouraged to provide feedback about the readability of Child Care Licensing reports. A link to the Child Care Licensing contact information and feedback page is also included in the licensing website to facilitate feedback submission. Feedback can be submitted by email, phone, or confidentially by electronic form.

b) Are monitoring and inspection reports in plain language?

If yes,

include a website link to a sample monitoring report.

Monitoring and inspection reports are written in plain language. For example, see <https://ccl.utah.gov/ccl/#/facilities/30009>.

If no,

describe how plain language summaries are used to meet the regulatory requirements and include a link to a sample summary.

c) Check to certify what the monitoring and inspection reports and/or their plain language summaries include:

Date of inspection

Health and safety violations, including those violations that resulted in fatalities or serious injuries.

Describe how these health and safety violations are prominently displayed.

Monitoring and inspection reports are posted on the licensing website for all licensed, certified, and license-exempt providers. These reports include results of required annual announced and unannounced inspections and inspections due to substantiated complaints. The monitoring and inspection reports available to the public include summaries prominently displaying any health and safety violations, including any fatalities or serious injuries for every facility. These findings are prominently displayed at the top of the report for every facility. The findings are categorized by levels of severity to ensure that the consumer can evaluate whether a finding jeopardizes the safety of children or simply a technical violation of a licensing rule.

Corrective action plans taken by the State and/or child care provider.

Describe

The reports available to the public include summaries prominently displaying any health and safety violations, including any fatalities or serious injuries on top of the report for every facility. These reports are in plain language. In 2015, CCL revised all of its reports to ensure the reports are easily understandable. These revisions

included categorizing the levels of severity on findings so that the consumer can evaluate whether a finding jeopardizes the safety of children or simply a technical violation of a licensing rule.

d) [The process for correcting inaccuracies in reports.](#)

Prior to posting publicly, licensing reports for all provider types, including licensed and license-exempt care, are reviewed, revised and approved by the licensor's supervisor. All provider types have 15 working days to appeal decisions made by CCL, including inaccuracies displayed on their licensing reports. Through their licensing facility portal, providers have access to an appeal request form that can be filled out and electronically submitted to CCL. Providers can use this appeal request form any time they find inaccuracies or when they disagree with any part of their public report. Where there are inaccuracies, these inaccuracies are corrected and properly displayed. These changes may include those arising after an appeal. An appeal request form is also available on the CCL website.

e) [The process for providers to appeal the findings in reports, including the time requirements, timeframes for filing the appeal, for the investigation, and for removal of any violations from the website determined on appeal to be unfounded.](#)

All provider types, including licensed and license-exempt providers, have 15 working days, after receiving written notice of the inspections results, to appeal any findings. Providers can easily submit appeal requests using an appeal feature in their provider portal that communicates real time with the CCL database. In addition, providers can simply call any manager to start the appeal process. After the appeal is received, licensing staff have two working days to schedule the appeal. If changes are required, the manager has two working days to make those changes and update the public report.

f) [How reports are posted in a timely manner. Specifically, provide the Lead Agency's definition of 'timely' and describe how it ensures that reports are posted within its timeframe. Note: While Lead Agencies define 'timely,' we recommend Lead Agencies update results as soon as possible and no later than 90 days after an inspection or corrective action is taken](#)

Licensing reports for all provider types, including licensed and license-exempt providers, are posted in a timely manner. Upon completion of the inspection, the licensor emails a copy of the checklist to the provider. The Lead Agency's definition of "timely" is

established by CCL, which requires licensors to enter the results of an inspection within two working days. Once entered, the licensor's supervisor has two additional working days to approve the inspection entry. The official written report is then emailed to the provider and is posted on the website automatically within two working days after supervisor's approval.

g) Describe the process for maintaining monitoring reports on the website. Specifically, provide the minimum number of years reports are posted and the policy for removing reports (98.33(a)(4)(iv)).

CCL posts reports for all provider types, including licensed and license-exempt providers, on its website for three years. Reports are automatically removed from the CCL website, and therefore not available on the Care About Childcare website, after three years. However, all reports remain in the CCL database and continue to be available to the public for a file check, when requested, or in response to Government Records Access and Management Act requests.

h) Any additional providers on which the Lead Agency chooses to include reports. Note - Licensed providers and CCDF providers must have monitoring and inspection reports posted on their consumer education website.

- License-exempt non-CCDF providers
- Relative child care providers
- Other.

Describe

Reports are available on the consumer website for FFN providers who are CCDF eligible and for non-CCDF license exempt centers who are known to Child Care Licensing.

2.3.8 Aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year must be posted on the consumer education website. This aggregate information on serious injuries and deaths must be organized by category of care (e.g., center, FCC, etc.) and licensing status for all eligible CCDF provider categories in the state. The information on instances of substantiated

child abuse does not have to be organized by category of care or licensing status. The aggregate report should not list individual provider-specific information or names.

Certify by providing:

Effective Date: 10/01/2018

a) The designated entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care (98.16 (ff)) and describe how the Lead Agency obtains the aggregate data from the entity.

All active child care providers, including CCDF exempt providers, must submit to Child Care Licensing all reportable injuries and deaths of children occurring in child care. Child Care Licensing posts on their website an aggregated report of reportable and serious injuries, deaths and substantiated cases of child abuse in active child care facilities. Child Care Licensing submits an electronic report to the Lead Agency including all serious injuries, deaths, and substantiated cases of child abuse occurring in child care. Child Care Licensing is also in constant communication with the Child Protective Services to make sure all cases of child abuse in child care are reported, investigated, and added to the licensing reports when substantiated.

b) The definition of "substantiated child abuse" used by the Lead Agency for this requirement.

Substantiated child abuse means that either Child Care Licensing or Child Protective Services found supporting evidence to substantiate the allegations.

c) The definition of "serious injury" used by the Lead Agency for this requirement.

The Lead Agency applies the Child Care Licensing definition of "serious injury." This definition establishes that a serious injury is a reportable injury that occurred due to a health or safety violation and indicates a deficiency in the operation or management of the program. A "reportable injury" is an injury to any qualifying child while in care that results in death or the child receiving professional medical attention other than first aid provided by child care staff.

d) The website link to the page where the aggregate number of serious injuries, deaths, and substantiated instances of child abuse are posted.

The aggregate number of serious injuries, deaths, and substantiated instances of child

abuse is found here:

<https://childcarelicensing.utah.gov/forms/All/Accidents%20and%20Deaths%20Report.pdf>

2.3.9 The consumer education website should include contact information on referrals to local child care resource and referral organizations. How does the Lead Agency provide referrals to local CCR&R agencies through the consumer education website? Describe and include a website link to this information:

The Lead Agency provides referrals to local CCR&R agencies through its consumer education website, CAC. The website includes contact information for all six resource and referral agencies located in Utah, also referred to as Care About Childcare agencies. When a consumer goes to the CAC page, there is a “Contact” tab on the home page. When a consumer clicks on this tab, the consumer can select the link for Care About Childcare agencies which then provides a list of each agency and the counties each serves. After the consumer determines which agency serves their geographic area, they may select the appropriate agency and receive the contact information.

<https://careaboutchildcare.utah.gov/contactRegions.aspx>

Effective Date: 10/01/2018

2.3.10 The consumer education website should include information on how parents can contact the Lead Agency, or its designee, or other programs that can help the parent understand information included on the website. Describe and include a website link to this information:

The consumer education website includes information on how parents can contact the Lead Agency, as well as other programs. As noted above, there is a “Contact” tab included on the homepage of the consumer website. In addition to the information on the CCR&R providers, the contact page includes a link to the webpage for the Lead Agency, the Utah Office of Child Care. That website includes the contact information for the Office of Child Care.

<https://jobs.utah.gov/occ/contact.html>

In addition, the homepage provides a list of agencies able to assist the consumer. These agencies include Child Care Licensing and the Utah Registry for Professional Development. <https://careaboutchildcare.utah.gov/contact.aspx>.

Effective Date: 10/01/2018

2.3.11 Provide the website link to the Lead Agency's consumer education website. Note: An amendment is required if this website changes.

<https://careaboutchildcare.utah.gov>

Effective Date: 10/01/2018

2.3.12 Other. Identify and describe the components that are still pending per the instructions on CCDF Plan Response Options for Areas where Implementation is Still in Progress in the Introduction.

N/A

Effective Date: 10/01/2018

2.4 Additional Consumer and Provider Education

Lead Agencies are required to certify that they will collect and disseminate information about the full diversity of child care services to promote parental choice to parents of eligible children, the general public, and where applicable, child care providers. In addition to the consumer education website, the consumer education information can be provided through CCR&R

organizations or through direct conversations with eligibility case workers and child care providers. Outreach and counseling can also be effectively provided via information sessions or intake processes for families (658E(c)(2)(E); 98.15(b)(4); 98.33(b)).

In questions 2.4.1 through 2.4.5, certify by describing:

2.4.1 How the Lead Agency shares information with eligible parents, the general public, and where applicable, child care providers about the availability of child care services provided through CCDF and other programs for which the family may be eligible, such as state preK, as well as the availability of financial assistance to obtain child care services. At a minimum, describe what is provided (e.g., such methods as written materials, the website, and direct communications) and how information is tailored for these audiences.

The Lead Agency shares information with eligible parents, the general public and child care providers through a variety of communication mechanisms that target specific audiences. Jobs.utah.gov/occ has resource sections that are easily accessible and tailored specifically for parents, providers and anyone in the general public who is interested in topics such as child care eligibility requirements, child development, safety, family resources, school readiness, nutrition and more. There are links to partner agencies including careaboutchildcare.utah.gov and childcarelicensing.utah.gov.

Additionally, the Lead Agency is a one-stop center for other financial assistance programs including SNAP, TANF and Medicaid. Written fliers are available that explain how to apply for child care assistance and other programs at the local employment centers. The Lead Agency regularly attends and has resource tables at community events, job fairs, and child care provider conferences.

Effective Date: 10/01/2018

2.4.2 The partnerships formed to make information about the availability of child care services available to families.

There are several divisions within the Lead Agency that work closely together and

collaborate to inform families about the availability of child care services. These divisions include the Workforce Development Division, responsible for TANF; Office of Refugees Services, responsible for coordinating services to refugees; Division of Housing and Community Development, responsible for services to individuals who are homeless; and the Eligibility Services Division, responsible for determining eligibility for Utah's social safety net programs. Additionally, the Lead Agency partners with child care resource and referral agencies and Child Care Licensing to distribute information on the availability of child care to eligible families.

Effective Date: 10/01/2018

2.4.3 How the Lead Agency provides the required information about the following programs and benefits to the parents of eligible children, the general public, and where applicable, providers. In the description include, at a minimum, what information is provided, how the information is provided, and how the information is tailored to a variety of audiences and include any partners who assist in providing this information.

Effective Date: 10/01/2018

Temporary Assistance for Needy Families program:

The Lead Agency has a universal application that allows individuals to apply for TANF, Child Care, SNAP and Medical programs. Customers are directed to the online application on the Lead Agency's website, <https://jobs.utah.gov>. This website also offers general program information that can be accessed by customers, general public, and community partners. Additionally, the Lead Agency has paper applications located at all of the Employment Centers throughout the state. Paper applications can also be requested by mail. Many community partners have paper applications and assist customer's in completing and submitting them. Additionally, information regarding TANF is available on the Care About Childcare resource page at <https://careaboutchildcare.utah.gov>.

Head Start and Early Head Start programs:

The Lead Agency coordinates with Child Care Resource and Referral to provide links to Head Start and Early Head Start Programs on <https://careaboutchildcare.utah.gov>. This website also includes a link to the Utah Head Start Association website, where parents can find more information about Head Start services. The Care About Childcare website is accessible to providers and the general public. Additionally, through the Early Head Start/Child Care Partnerships, the Lead Agency is providing information to parents in those programs. Lastly, through the Head Start Collaboration Director whose office is within the Lead Agency, the Lead Agency coordinates with the Utah Head Start Association to send an email to the Lead Agency's clients who are potentially eligible for Head Start. The email includes information regarding Head Start and Early Head Start services and service areas, as well as contact information regarding how to enroll.

[Low Income Home Energy Assistance Program \(LIHEAP\):](#)

The Lead Agency provides information to the public, parents and providers on LIHEAP at the local employment centers, through the state resource program, 211ut.org, and its website. Additionally, <https://careaboutchildcare.utah.gov> contains information and relevant links on LIHEAP. Providers may also access information in some training classes where community resources are discussed and information about them is included in course content.

[Supplemental Nutrition Assistance Programs \(SNAP\) Program:](#)

The Lead Agency has a universal application that allows individuals to apply for Child Care, TANF, SNAP and Medical programs. Customers are directed to the online application on the Lead Agency's website, <https://jobs.utah.gov>. This website also offers general program information that can be accessed by customers, general public, and community partners. Additionally, the Lead Agency has paper applications located at all of the Employment Centers throughout the state. Paper applications can also be requested by mail. Many community partners have paper applications and assist customers in completing and submitting them. Additionally, information regarding SNAP is available on the Care About Childcare resource page at <https://careaboutchildcare.utah.gov>.

Women, Infants, and Children Program (WIC) program:

The Lead Agency provides information about WIC to parents at the time of application for child care assistance through the universal application. The WIC resource information is found at

<https://jobs.utah.gov/customereducation/services/foodstamps/index.html>. Families, providers and the general public may also access information about WIC through <https://careaboutchildcare.utah.gov> and 211utah.org.

Child and Adult Care Food Program(CACFP):

The Lead Agency provides information to parents, providers and the general public on the CACFP through local CAC agencies, as well as through

<https://careaboutchildcare.utah.gov>.

Medicaid and Children's Health Insurance Program (CHIP):

The Lead Agency has a universal application that allows individuals to apply for Medical programs (including CHIP), TANF, Child Care and SNAP. Customers are directed to the online application on the Lead Agency's website, <https://jobs.utah.gov>.

This website also offers general program information that can be accessed by customers, general public and community partners. Additionally, the Lead Agency has paper applications located at all of the Employment Centers throughout the state. Paper applications can also be requested by mail. Many community partners have paper applications and assist customers in completing and submitting them.

Additionally, information regarding Medical programs (including CHIP) are available on the Care About Childcare resource page at <https://careaboutchildcare.utah.gov>.

Programs carried out under IDEA Part B, Section 619 and Part C:

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

<https://careaboutchildcare.utah.gov>. This information is available to parents, providers and the public.

2.4.4 Describe how the Lead Agency makes available to parents, providers, and the general public information on research and best practices concerning children's development, including physical health and development, particularly healthy eating and physical activity. Information about successful parent and family engagement should also be shared. At a minimum, include what information is provided, how the information is provided, and how the information is tailored to a variety of audiences and include any partners in providing this information.

The Lead Agency makes information about research and best practices in child development available to parents, providers and the public primarily through the Care About Childcare website and the CAC Agencies. A number of resources are available on the CAC website that address children's physical development and healthy habits. The individual CAC agencies also provide information to parents, providers and the public through the work they do in the community. For providers, this information is largely disseminated through training classes, resource nights, CDA consultation, and other outreach performed by the CAC agencies and its qualified coaches and technical assistance consultants. Some training offerings focus on physical development, healthy eating and physical activity. One such class that is offered in the community is called TOP STAR. This ten-hour course focuses on teaching children healthy physical habits and is targeted to address the issue of childhood obesity.

Additionally, the Lead Agency publishes and distributes the Utah's Early Learning Guidelines statewide to parents, early childhood professionals, and other individuals working with parents and families. The Lead Agency provides information regarding research and best practices in child development through the following methods: written materials, direct communication through training classes and conferences, Care About Childcare web-site, and regular communication emails to providers, which includes highlight research and best practices in child development, when research is made available. The Lead Agency partners with its CAC agencies, the Department of Health, Early Childhood Utah, Child Care Licensing Program, the Utah Registry for Professional Development and The Children's Center. Note that several of the CAC agencies are located within the early childhood development programs at institutions of higher education.

2.4.5 Describe how information on the Lead Agency's policies regarding the social-emotional and behavioral issues and early childhood mental health of young children, including positive behavioral intervention and support models based on research and best practices for those from birth to school age, are shared with families, providers, and the general public. At a minimum, include what information is provided, how the information is provided, and how information is tailored to a variety of audiences and include any partners in providing this information.

The Lead Agency provides information to families on the social and emotional development and mental health of young children through its contracts with The Children's Center and the CAC agencies. The Children's Center provides parents with consultative services over the phone, including educating families on age-appropriate behavior and expectations, problem solving with parents regarding what the parent has tried in regards to their child's behavior and additional existing options. Also, sending the parent resources regarding healthy social/emotional development, observing the child within their child care setting to provide support to staff and parents to manage the child more effectively.

Where necessary, The Children's Center educates families on the developmental needs of their children and in some instances, refers children to The Children's Center's mental health group. These services are offered to families free of charge. Families also receive information through the CAC agencies. These agencies provide 12, ten-hour based training courses available to parents centered on social and emotional development of children, child guidance, attachment, brain development and child development theory. Classes are advertised through Care About Childcare and open to parents at a nominal fee. In addition, Care About Childcare provides extensive information to parents on child development through its "Child Development," resource page locate on the CAC website.

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

The Infant/Toddler Guidelines emphasize these issues more robustly than the Preschool Guidelines.

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

Additionally, The Children's Center provides consultative services to providers of all care types. These services are provided to assist providers when behavioral problems become challenging or developmental concerns arise in programs. The Children's Center staff provides on-site support to programs through observation and feedback, technical assistance and modeling of desired interactions. One of the goals of these services is to help providers develop the skills necessary to manage children presenting more challenging behaviors, thereby reducing the likelihood of expulsion. The CAC agencies provide 12 ten-hour based training courses available to providers centered on social and emotional development of children, child guidance, attachment, brain development and child development theory. Classes are advertised through Care About Childcare and open to providers at a nominal fee. In addition, Care About Childcare provides extensive information to providers on child development through its "Child Development," resource page.

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

In addition, the Lead Agency provides information to the public on the social and emotional needs and mental health needs of children through its CAC agencies. These agencies provide 12, ten-hour based training courses available to anyone in the community centered on social and emotional development of children, child guidance, attachment, brain development and child development theory. Classes are advertised through Care About

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

Effective Date: 10/01/2018

2.4.6 Describe the Lead Agency's policies to prevent the suspension and expulsion of children from birth to age 5 in child care and other early childhood programs receiving CCDF funds (98.16(ee)), including how those policies are shared with families, providers, and the general public.

The Lead Agency has employed a number of strategies to prevent the suspension and expulsion of children from birth to age five in child care and other early childhood programs for a number of years. The Lead Agency has contracted with The Children's Center, a non-profit early childhood mental health organization since 2004 to provide consultative services to child care providers, early childhood programs and parents.

The Children's Center provides consultation services to assist both parents and providers in understanding typical, developmentally appropriate behavior that may be perceived as misbehavior. Parents are sent information via email or mail if they are concerned about behavior their child may be exhibiting or about reports about their child from their child care provider. Parents may request the Children's Center contact their child care provider to arrange to have their child observed in their child care setting and provide additional resources for the provider or program. Children's Center staff are specially trained to work with the providers when behavioral problems become challenging or developmental concerns arise in programs.

Additionally, child care programs may contact The Children's Center to request staff work in

actual classroom settings where children are presenting especially challenging behaviors to offer support, specialized training, modeling, coaching and additional resources to assure that staff have the skills to manage challenging behavior. Observations are conducted and feedback is provided to classroom staff and the director. Based on the data from the observation, a plan is created to perhaps modify the environment, adjust the schedule, individualize for a specific child, or a myriad of other strategies.

Another benefit of this service is that the Children's Center has the ability to refer a child that appears to need additional intervention to their clinical staff. In some cases, children are referred to the Children's Center day program, which provides intensive intervention to assist children exhibiting behavioral, emotional or social issues that go beyond typical and challenging behavior. When this happens, children are often picked up and dropped off by the Children's Center at the child care center that they attend. The additional intervention assists the program in meeting the child's needs more effectively. The Children's Center and the program work closely together to assure the child's individual needs are met. One of the goals of the Children's Center services is to help providers develop the skills necessary to manage children presenting more challenging behaviors, thereby reducing the likelihood of suspension or expulsion.

The Children's Center actively advertises their services to child care providers through email blasts to centers apprising them of the on-site consultative services they provide or about specific specialized trainings or other events that will be available for free or for a nominal fee. The Children's Center also advertises services by utilizing brochures that are available at child care conferences or other events where providers are present. Parents are notified primarily through brochures available at children's events that parents may attend such as The Week of the Young Child event.

Additionally, the Lead Agency contracts with the Care About Childcare (CAC) agencies to provide 12, ten-hour training courses available to providers centered on social and emotional development of children, child guidance, attachment, brain development and child development theory. A provider's knowledge in all of these areas will better prepare them to have reasonable expectations of children, utilize developmentally appropriate practice, understand typical development and promote their own development in understanding how they can promote attachment, foster brain development and guide children to foster healthy self esteem. Classes are advertised through Care About Childcare and open to providers at

a nominal fee.

Another strategy utilized is to provide support to caregivers in learning about how to care for themselves to assure they are better able to care for children. The Lead Agency developed a suite of four 10-hour courses that is referred to as Guidance and Emotional Wellness. Course one is dedicated to teaching caregivers about self care and assuring that they are getting what they need on a regular basis to assure they are able to care effectively for the children they work with. This course discusses self care in regard to physical and mental health and social and emotional supports. Each session focuses on strategies for caring for oneself and keeping each individual's cup full, so to speak. Research suggests that caregivers that practice self care are better able to cope with the day to day challenges of caring for children and in some cases may decrease the likelihood of a challenging child being asked to leave the classroom or program.

Lastly, the Lead Agency has made great strides in raising awareness among child care providers regarding developmental screening for young children. The Lead Agency promotes the use of the Ages and Stages Questionnaire and the Ages and Stages Questionnaire social, emotional screeners. The CAC agencies do a lot of work to promote developmental screening as they work with parents to give child care referrals, provide training to providers regarding developmental screening, and when they send information to parents regarding what quality child care is or other requests they may have.

The Lead Agency has also worked with the Early Childhood Specialists housed in agencies working with programs receiving grant funds to emphasize the importance of embedding the message of the importance of developmental screening in to their work with programs and providers. Information about the ASQ and ASQSE are given to programs when the specialist begins to work with the program and the specialist continues to support the staff in how to approach parents about partnering to assure developmental screening of their child is completed. Additionally, other strategies utilized to promote developmental screening are explained in the next section of the plan.

In response to the emphasis on suspension and expulsion in the CCDBG Act of 2014, the Lead Agency established a work group in September 2017, which convened monthly beginning September 2017-August 2018 to study the issue of suspension and expulsion and to make written recommendations to the Lead Agency of additional strategies that may be

utilized to address the issue. The work group included a number of individuals with expertise in early childhood development and mental health, child care providers and managers, technical assistance and coaching providers working in child care programs, Head Start, and other entities concerned about this important issue. Upon the completion of their work, a written set of recommendations was provided to the Lead Agency in September 2018. The Lead Agency is considering the recommendations and is continuing to evaluate additional modifications to current practices and what other strategies may be utilized to strengthen work in this area in the future. There is not a formal, written policy in place at this time.

Effective Date: 10/01/2018

2.5 Procedures for Providing Information on Developmental Screenings

Lead Agencies are required to provide information on developmental screenings, including information on resources and services that the State can deploy, such as the use of the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program carried out under title XIX of the Social Security Act and developmental screening services available under IDEA Part B, Section 619 and Part C, in conducting those developmental screenings and in providing referrals to services for children who receive subsidies. Lead Agencies must also include a description of how a family or child care provider can use these resources and services to obtain developmental screenings for children who receive subsidies and who might be at risk of cognitive or other developmental delays, which can include social, emotional, physical, or linguistic delays (658E(c)(2)(E)(ii)). Lead Agencies are required to provide this information to eligible families during CCDF intake and to child care providers through training and education (98.33(c)).

2.5.1 Certify by describing:

Effective Date: 10/01/2019

a) How the Lead Agency collects and disseminates information on existing resources and services available for conducting developmental screenings to CCDF parents, the general public, and where applicable, child care providers (98.15(b)(3)).

The Lead Agency disseminates information to CCDF parents during the intake process

after it has been determined that a family is eligible to receive subsidy. Information is disseminated twice yearly to providers through flyers sent via email regarding the importance of developmental screenings and through the CAC training system. Flyers designed to educate parents on developmental screening are sent in the same email and programs are asked to distribute the information to families. There is a link on the CAC website to developmental screening information for the general public. All of this is explained in more detail in the responses below.

The Lead Agency collects and disseminates information on existing resources and services available for conducting developmental screenings through partnerships with the Utah Department of Health (DOH) and Help Me Grow. In Utah, developmental screening has become a priority and endeavor of interest to many partners, both public and private. The Lead Agency coordinates with DOH, Bureau of Child Development to support a staff member to lead coordination between agencies regarding developmental screenings for children. Through this collaboration, DOH has formed partnerships with several programs, including 54 home and centerbased child care programs. The programs receive access to the following:

- ASQ-3 and ASQ-SE tools and materials
- ASQ online database and tools, including "family access," giving families the opportunity to complete screenings online
- Training on effective use of the tools and materials
- Ongoing technical support.

In addition, the Lead Agency coordinates with Help Me Grow to ensure parents of young children covered by child care subsidies are informed of developmental screenings and supported in the completion of the screenings. Help Me Grow conducts followup calls to ensure families are accessing necessary resources when a developmental screening indicates areas of concern for a young child. The developmental screening tool most frequently used in Utah is the Ages and Stages Questionnaire (ASQ) and the Ages and Stages Social/Emotional Questionnaire (ASQSE).

In addition to the coordinated work with partners, the Lead Agency assures that information on early and periodic screening is disseminated twice yearly to all child care providers. Each year in September and March, the Lead Agency sends a one page informational document to providers regarding the importance of early and periodic screening and includes a flier that is designed for parents and asks each program to distribute the flier to each family. The document includes information explaining the

importance of developmental screening. The document includes information on where providers and parents can access the ASQ or ASQ-SE. Information is shared with parents and providers regarding agencies that provide support to complete the questionnaire and community resources available should the parent or provider be concerned about a child's development after completing the screening.

b) [The procedures for providing information on and referring families and child care providers to the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program - carried out under Title XIX of the Social Security Act \(42 U.S.C. 1396 et seq.\) - and developmental screening services available under Section 619 and Part C of the Individuals with Disabilities Education Act \(20 U.S.C. 1419, 1431 et seq.\)](#). Five entities work in tandem to provide support and resources to families and child care providers regarding developmental screening. The Lead Agency, the CAC Agencies, Early Childhood Utah(ECU), Help Me Grow and Baby Watch Early Intervention Services, Utah's statewide 619/Part C program, work together to promote developmental screening of children birth-5 throughout Utah and connect families to Baby Watch, where necessary.

First, the CCR&R agencies refer families concerned about their child's development to Baby Watch through the CAC website. The website contains a link to Baby Watch. More referrals to Baby Watch are made through the Lead Agency's partnership with Help Me Grow. The Lead Agency partners with Help me Grow to contact parents who qualify for subsidy and provides information to them regarding developmental screening. A staff member will support the parent in completing the online ASQ or ASQ-SE. Help me Grow is able to read the results and determine whether the child is developing typically, needs to be monitored, or shows a possible need for actual intervention.

What follows depends on what the screener shows. 1) The staff member shares resources with the parent for typically developing children to keep their development moving forward. 2) In the event that a child scores in the "monitoring" zone, the staff member connects the parent to informational resources and may connect to community resources locally, applicable for the situation and parent, that will help their child reach appropriate developmental milestones. 3) If the results show that a child appears to be developing below what is considered typical, the staff member refers the parent to Baby Watch Early Intervention services.

Baby Watch then formally assesses the child and if the child qualifies, intervention services are provided to the child and family. If the child does not qualify, the family should be referred back to Help Me Grow for connection to alternative community resources to help the child reach the needed developmental milestones. Help Me Grow is one of the resources on the Care About Childcare website. The link to more information on Help Me Grow's website is prominently displayed on Care About Childcare's resource page.

[c\) How the Lead Agency gives information on developmental screenings to parents receiving a subsidy as part of the intake process. Include the information provided, ways it is provided, and any partners in this work.](#)

When parents are approved for child care subsidy, they receive a letter from the Lead Agency. At the end of the letter, it states that developmental screening is important and that children should be screened on a regular basis for their own well-being. It also states that a representative from Help Me Grow will contact them within 90 days. The Lead Agency partners with Help Me Grow to contact all parents that qualify for subsidy to provide support in completing developmental screenings for their children. The screeners used are the ASQ and the ASQ-SE. HMG contacts parents via phone call or text, provides information, and supports the parent in utilizing the screening tool. The process described above is then used.

[d\) How CCDF families or child care providers receiving CCDF can use the available resources and services to obtain developmental screenings for CCDF children at risk for cognitive or other developmental delays.](#)

Resources for developmental screening are available to parents at no cost through the Help Me Grow website and available to providers through the Lead Agency's community partners: CAC agencies, ECU, Baby Watch Intervention, and through the CAC website.

[e\) How child care providers receive this information through training and professional development.](#)

The Lead Agency funds training classes through the CAC Agencies that teach providers how to use the ASQ and ASQ-SE, how to support parents in completing the screening tool, how to input data as an "administering agency" (aa), and how to support parents and families in identifying areas where intervention may be needed and connect them to

the appropriate resources.

In addition, the Lead Agency contributes to the funding of a position at Early Childhood Utah for a staff member to provide technical assistance to help providers apply what they have learned in training class and follow through with parents based on the results of the screening. After a representative from a center based program has completed the training, ECU provides support and provides an ASQ screening kit free of charge to staff to use with enrolled families. Family providers receive technical assistance in how to access the ASQ website online and how to utilize the questionnaire, tools, resources and activities available there.

f) Provide the citation for this policy and procedure related to providing information on developmental screenings.

There is not a formal citation related to providing information on developmental screening. The Lead Agency collaborates with other agencies that do this work, but does not directly influence the policy or procedure.

2.6 Consumer Statement for Parents Receiving CCDF Funds

Lead Agencies must provide CCDF parents with a consumer statement in hard copy or electronically (such as referral to a consumer education website) that contains specific information about the child care provider they select. This information about the child care provider selected by the parent includes health and safety requirements met by the provider, any licensing or regulatory requirements met by the provider, the date the provider was last inspected, any history of violations of these requirements, and any voluntary quality standards met by the provider. It must also describe how CCDF subsidies are designed to promote equal access, how to submit a complaint through a hotline, and how to contact local resource and referral agencies or other community-based supports that assist parents in finding and enrolling in quality child care (98.33(d)). Please note that if the consumer statement is provided electronically, Lead Agencies should consider how to ensure that the statement is accessible to parents and that parents have a way to contact someone to address questions they have.

2.6.1 Certify by describing:

Effective Date: 10/01/2018

a) How the Lead Agency provides parents receiving CCDF funds with a consumer statement.

The child care application has a child care customer education section which includes a consumer statement about child care.

b) What is included in the statement, including when the consumer statement is provided to families.

The consumer statement is given whether completing a paper or electronic application. For those completing the paper application, the consumer education information is included in the customer education section of the paper application. The customer keeps that section of the application for reference.

When an electronic application is completed, an electronic version is available after the application is submitted.

The consumer statement reads as follows:

You have the right to select the type of child care provider which best meets your family needs. The provider you chose must comply with certain health and safety requirements to be eligible.

- <https://careaboutchildcare.utah.gov> provides information to parents about how to identify a quality child care setting and maintains a searchable child care provider database to find a provider in your area. A short video titled Assisting Parents to Find High-quality Child Care is available at <https://jobs.utah.gov/occ/about.html>.
- To find out more information on the provider you have chosen, including verified research based-quality indicators, search for your provider at <https://careaboutchildcare.utah.gov>. You will see a link to their Department of Health Child Care Licensing record to find information about their health and safety requirements including regulatory requirements. Their licensing record will show the date the provider was last inspected and any history of violations of these requirements.
- You may call the Utah Registry for Professional Development toll free at 855-531-2468 if you need assistance in locating an approved provider or have questions about the provider you have selected.
- To file a complaint on a provider, you may submit a complaint form online at

<https://childcarelicensing.utah.gov> or call Child Care Licensing at (801) 273-2895.

- Report your selection of a child care provider if you have already met with the provider, have negotiated a start date and provider charge. There may be a delay in processing your application if you have not selected a child care provider at the time you apply.
- If you have not selected a child care provider, changes may be reported on <https://jobs.utah.gov/mycase> or by contacting the Eligibility Service Center, 801-526-0950 or 1-866-435-7414 (toll free).
- If you select a Family, Friend, or Neighbor (FFN) as your provider:
 - They must apply with Child Care Licensing (CCL) to become a DWS-FFN approved provider prior to any Child Care assistance being approved.
 - Your provider may submit an application online at <https://childcarelicensing.utah.gov> or call 800-883-9375 to apply.
 - If your FFN provider has not completed the application process, an information notice will be sent to you to give to your provider. Your Child Care application will start the day your FFN provider becomes approved.
 - Your provider and their household members age 12 and older must pass a criminal background check and complete all Health and Safety requirements administered by Child Care Licensing.
 - If you select a provider who lives with you an exemption will be considered only if a child in the home has special needs. If you have selected a provider who is currently DWS FFN Approved, make sure your provider contacts CCL to report they will be providing care for your children. They will need your DWS case number. They are limited to the number of children they may provide care for. If they are over the limit, you may need to choose another provider.

c) Provide a link to a sample consumer statement or a description if a link is not available.

The description of the consumer statement is provided in 2.7.1 (b). In addition to the consumer statement being provided with the electronic and paper applications, it is also available on the Lead Agency's website in the customer education section. The website is <https://jobs.utah.gov/customereducation/services/childcare/employmentsupport.html> Scroll down to the "Selecting a Provider" section to find the consumer statement. Customers may access this information at any time.

3 Provide Stable Child Care Financial Assistance to Families

In providing child care assistance to families, Lead Agencies are required to implement these policies and procedures: a minimum 12-month eligibility and redetermination periods, a process to account for irregular fluctuations in earnings, a policy ensuring that families' work schedules are not disrupted by program requirements, policies to provide for a job search of not fewer than 3 months if the Lead Agency exercises the option to discontinue assistance, and policies for the graduated phase-out of assistance. Also, procedures for the enrollment of homeless children and children in foster care, if served, pending the completion of documentation, are required.

Note: Lead Agencies are not prohibited from establishing policies that extend eligibility beyond 12 months to align program requirements. For example, Lead Agencies can allow children enrolled in Head Start, Early Head Start, state or local prekindergarten, and other collaborative programs to finish the program year. This type of policy promotes continuity for families receiving services through multiple benefit programs.

In this section, Lead Agencies will identify how they define eligible children and families and how the Lead Agency improves access for vulnerable children and families. This section also addresses the policies that protect working families and determine a family's contribution to the child care payment.

3.1 Eligible Children and Families

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

3.1.1 Eligibility criteria based on a child's age

Effective Date: 10/01/2018

a) The CCDF program serves children

from 0

(weeks/months/years)

through 12

years (under age 13). . Note: Do not include children incapable of self-care or under court supervision, who are reported below in (b) and (c).

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))

No

Yes,

and the upper age is 18

(may not equal or exceed age 19).

If yes, Provide the Lead Agency definition of physical and/or mental incapacity: The definition of physical or mental incapacity includes children who are physically or mentally incapable of self-care, as determined by an approved, licensed professional, doctor or approved agency.

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))

No.

Yes

and the upper age is 18

(may not equal or exceed age 19)

d) How does the Lead Agency define the following eligibility terms?

"residing with":

The Lead Agency defines "residing with," as children who must live in the same household as the parent during the time period child care services are requested.

"in loco parentis":

"In loco parentis," refers to specified relatives. Specified relatives are defined as: grandparent, brother or sister (including step, half, or adopted), aunt or uncle, first cousin, nephew or niece, and people of prior generations as designated by the prefix grand, great, or great-great, spouses, any relatives mentioned above even if the marriage has been terminated, and ex-step parents. 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. An unrelated adult who has legal custody of the child is treated the same as a parent.

3.1.2 Eligibility criteria based on reason for care

Effective Date: 10/01/2018

a) How does the Lead Agency define "working or attending a job training and educational program" for the purposes of CCDF eligibility at the time of determination? Provide the definitions below for:

"Working":

Working is defined as a job or providing a service that pays wages, a salary, or in-kind benefits. Additional work activities for purposes of eligibility determination may include employed in the labor market, on-the-job training or being self-employed provided federal or state law does not prohibit the occupations and wages are obtained legally. Single parents must be working an average of 15 hours per week; in a two-parent household, one parent must be working an average 15 hours per week while the other parent must work an average of 30 hours per week.

"Job training":

Job training is defined as participating in a program or course whose intent is to improve the skills, knowledge or employability of the individual. Specific activities include technical and trade programs or employer-required workshops. Paid on-the-

job training is considered as work and not as training hours.

"Education":

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, English as a Second Language (ESL), high school and/or GED classes. The Lead Agency requires the parent make progress in the training or education program. Progress is defined as that the course will be completed within the 24-month time limit. The Lead Agency will only allow training or education for customers who are meeting the minimum work requirement.

"Attending job training or education" (e.g. number of hours, travel time):

Most training activities are time-limited to 24 months. Certain activities including ESL and obtaining a high school diploma or GED are not time-limited. College degrees are time-limited to 24 months or the last two years of a Bachelor's degree. There is no minimum requirement for training hours. The Lead Agency considers the class schedule, which includes time between classes for the participation hours.

3.1.2 Eligibility criteria based on reason for care

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

No.

If no, describe the additional work requirements:

The individual must also meet the minimum work requirement described in 3.1.2(a). These work requirements are that 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.

Yes.

If yes, describe the policy or procedure:

3.1.2 Eligibility criteria based on reason for care

c) Does the Lead Agency consider seeking employment (engaging in a job search) an eligible activity at initial eligibility determination (at application) and at the 12-month eligibility redetermination? (Note: If yes, Lead Agencies must provide a minimum of three months of job search)

No.

Yes.

If yes, describe the policy or procedure. (including any differences in eligibility at initial eligibility determination vs. redetermination of eligibility):

This response is "no" for the initial eligibility determination. This response has temporarily changed to "yes" for eligibility during the redetermination period only. This change allows families who have had a reduction of hours during their child care redetermination month or who have been laid off during the COVID-19 crisis to receive continued child care assistance for 12 months. It is anticipated that these families will return to work or obtain new employment as the economy stabilizes and businesses reopen. This policy will be re-evaluated to determine when it is appropriate to reinstate previous policy.

3.1.2 Eligibility criteria based on reason for care

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

No.

Yes. If yes:

i. Please provide the Lead Agency's definition of "protective services":

The Lead Agency has temporarily expanded the definition of protective services during the COVID-19 crisis. Protective services is defined as children of employees in two essential sectors: (1) health care and public health; and (2) law enforcement, public safety and first responders. Children of these families may be placed in an Emergency Child Care facility or an existing regulated child care facility. CCDF eligibility requirements are waived for these families due to this emergency situation. This will end when it is determined the Emergency Child Care facilities are no longer needed.

Additionally, a waiver of the 12 month eligibility requirements has been approved for children receiving COVID-19 related services through Utah's Emergency Child Care system.

Note: Federal requirements allow other vulnerable children identified by the Lead Agency not formally in child protection to be included in the Lead Agency's definition of protective services for CCDF purposes. A Lead Agency may elect to provide CCDF-funded child care to children in foster care when foster care parents are not working or are not in education/training activities, but this provision should be included in the protective services definition above.

ii. Are children in foster care considered to be in protective services for the purposes of eligibility at determination?

- No
 Yes

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

- No
 Yes

iv. Does the Lead Agency provide respite care to custodial parents of children in protective services?

- No
 Yes

3.1.3 Eligibility criteria based on family income. Note: The question in 3.1.3 relates to initial determination. Redetermination is addressed in 3.1.7.

Effective Date: 03/18/2019

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

For purposes of eligibility, income includes both earned and unearned 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. The DWS Eligibility Manual, Section 400,

addresses which sources of earned and unearned income are counted and which types are exempt.

b) Provide the CCDF income eligibility limits in the table below at the time of initial determination. Complete columns (a) and (b) based on maximum eligibility at initial entry into CCDF. Complete columns (c) and (d) *only if* the Lead Agency is using income eligibility limits lower than 85 percent of the current state median income (SMI) at the initial eligibility determination point. Fill in the chart based on the most populous area of the state (the area serving the highest number of CCDF children). If the income eligibility limits are not statewide, please respond to c) below the table.

	(a)	(b)	(c)	(d)
Family Size	100% of SMI(\$/Month)	85% of SMI (\$/Month) [Multiply (a) by 0.85]	(IF APPLICABLE) (\$/Month) Maximum Initial or First Tier Income Limit (or Threshold) if Lower Than 85% of Current SMI	IF APPLICABLE) (% of SMI) [Divide (c) by (a), multiply by 100] Income Level if Lower Than 85% of Current SMI
1	N/A	N/A		
2	\$4367	\$3712		
3	\$5394	\$4585		
4	\$6421	\$5458		
5	\$7449	\$6332		

c) If the income eligibility limits are not statewide, describe how many jurisdictions set their own income eligibility limits and provide the income limit ranges across the jurisdictions (e.g. range from [lowest limit] to [highest limit])(98.16(i)(3)).

Reminder: Income limits must be established and reported in terms of current SMI based on the most recent data published by the Bureau of the Census (98.20(a)(2)(i)) even if the federal poverty level is used in implementing the program. SMI guidelines are available at: <https://www.acf.hhs.gov/ocs/resource/liheap-im2017-03>.

d) SMI source and year. Utah uses the 2019 SMI found at <https://www.acf.hhs.gov/ocs/resource/state-median-income-estimates-for-optional-use-in-fy-2018-and-mandatory-use-in-fy-2019>

e) Identify the most populous area of the State used to complete the chart above.
Salt Lake County

f) What was the date (mm/dd/yyyy) that these eligibility limits in column (c) became effective? 03/18/2020

g) Provide the citation or link, if available, for the income eligibility limits.
<https://jobs.utah.gov/occ/provider/incomeeligcopay.pdf>

3.1.4 Lead Agencies are required to ensure that children receiving CCDF funds do not have family assets that exceed \$1,000,000, as certified by a family member (98.20(a)(2)(ii)).

Effective Date: 10/01/2018

a) Describe how the family member certifies that family assets do not exceed \$1,000,000 (e.g., a checkoff on the CCDF application).

On the child care application, the applicant is required to mark whether their total assets exceed one million dollars.

b) Does the Lead Agency waive the asset limit on a case-by-case basis for families defined as receiving, or in need of, protective services?

No.

Yes.

If yes, describe the policy or procedure and provide citation:

3.1.5 Describe any additional eligibility conditions or priority rules applied by the Lead Agency during eligibility determination or redetermination (98.20(b)).

Children needing care must be a United States citizen or meet qualified alien status. As long as there is an eligible child, the parent(s) must meet eligible work activities to receive a child care subsidy payment.

Effective Date: 10/01/2018

3.1.6 Lead Agencies are required to take into consideration children's development and promote continuity of care when authorizing child care services (98.21(f); 98.16(h)(6)). Check the approaches, if applicable, that the Lead Agency uses when considering children's development and promoting continuity of care when authorizing child care services.

Effective Date: 10/01/2018

- Coordinating with Head Start, prekindergarten, or other early learning programs to create a package of arrangements that accommodates parents' work schedules
- Inquiring about whether the child has an Individualized Education Program (IEP) or Individual Family Services Plan (IFSP)
- Establishing minimum eligibility periods greater than 12 months
- Using cross-enrollment or referrals to other public benefits
- Working with IDEA Part B, Section 619 and Part C staff to explore how services included in a child's IEP or IFSP can be supported and/or provided onsite and in collaboration with child care services
- Providing more intensive case management for families with children with multiple risk factors;
- Implementing policies and procedures that promote universal design to ensure that activities and environments are accessible to all children, including children with sensory, physical, or other disabilities
- Other.

Describe:

An Individualized Education Program may be accepted when determining if a child has special needs. Additionally, the Lead Agency has partnered with Head Start to support Early Head Start-Child Care Partnerships when eligible infants and toddlers are enrolled in selected child care programs. These partnerships allow for flexibility for the families and offer additional family supportive services focusing holistically on the family, health and safety and school-readiness. Additionally, the Lead Agency has implemented the use of a tiered payment structure, which allows more flexibility for parents to negotiate pick up times, travel time, etc.

3.1.7 Policies and processes for graduated phase-out of assistance at redetermination.

Effective Date: 03/18/2020

Lead Agencies are required to provide for a graduated phase-out of assistance for families whose income has increased above the state's initial income threshold at the time of redetermination but remains below the federal threshold of 85 percent of the state median income. Providing a graduated phase-out promotes continuity by allowing for wage growth, allows for a tapered transition out of the child care subsidy program as income increases, and supports long-term self-sufficiency for families.

- i. 85 percent of SMI for a family of the same size
- ii. An amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold that:
 - (A) Takes into account the typical household budget of a low-income family
 - (B) Provides justification that the second eligibility threshold is:
 - (1) Sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability
 - (2) Reasonably allows a family to continue accessing child care services without unnecessary disruption.

At redetermination, a child shall be considered eligible if his or her parents are working or attending a job training or educational program even if their income exceeds the Lead Agency's income limit to initially qualify for assistance as long as their income does not exceed the second tier of eligibility (98.21(a); 98.21(b)(1)). Note that once deemed eligible, the family shall be considered eligible for a full minimum 12-month eligibility period, even if their income exceeds the second tier of eligibility during the eligibility period, as long as it does not exceed 85 percent of SMI.

A family eligible for services via the graduated phase-out of assistance is considered eligible under the same conditions as other eligible families with the exception of the copayment restrictions, which do not apply to a graduated phase-out. To help families transition off of child care assistance, Lead Agencies may gradually adjust copay amounts for families whose children are determined eligible under a graduated phase-out and may require additional reporting on changes in family income. However, Lead Agencies must still ensure that any

additional reporting requirements do not constitute an undue burden on families.

Effective Date: 03/18/2020

a) Check and describe the option that best identifies the Lead Agency's policies and procedures regarding the graduated phase-out of assistance.

- N/A - The Lead Agency sets its initial eligibility threshold at 85 percent of SMI and, therefore, is not required to provide a graduated phase-out period.
- N/A - The Lead Agency sets its exit eligibility threshold at 85 percent of SMI and, therefore, is not required to provide a graduated phase-out period.
- The Lead Agency sets the second tier of eligibility at 85 percent of SMI.

Describe the policies and procedures.

Effective March 18, 2020, the Lead Agency temporarily set its initial eligibility and exit eligibility thresholds to 85 percent of SMI. These changes were put into place to support families in need of child care assistance during the COVID-19 pandemic. These changes will be re-evaluated frequently by the Lead Agency and will revert back to the previous policies in place when it is determined that the economy is recovering.

Provide the citation for this policy or procedure.

- The Lead Agency sets the second tier of eligibility at an amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold.

Provide the second tier of eligibility for a family of three.

The second tier of eligibility is set at 75 percent of SMI or \$4,045 per month for a family of three. This is the equivalent of 228 percent of the Federal Poverty Level (FPL) for a family of three.

Describe how the second eligibility threshold:

- i. Takes into account the typical household budget of a low-income family:

The Lead Agency established a second eligibility threshold several years ago. The intent was to support families as their household income increased and allow them to remain on child care assistance for a longer period of time; helping families to meet other household expenses as well as budget and plan for child care costs. The 70 percent SMI threshold was established based on available

data and evidence at the time that would allow the majority of eligible families a substantial increase in earnings before losing benefits. The exit threshold has increased to 75 percent of the SMI to support more families to remain eligible for a longer period of time. For example, a household size of three with income of \$1778 per month could increase by \$2267 per month (additional \$27,402 per year) and remain eligible for child care assistance. Currently, less than two percent of the caseload has household income between 75 percent SMI and 85 percent SMI.

Additionally, the Lead Agency applies standard deductions to the household's gross income before making an eligibility determination. There is a \$100 work allowance per working adult, \$100 family medical allowance and \$50 deduction for child support received. Legally obligated child support and alimony paid to someone outside of the child care household is deducted from the household income.

[ii. Is sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability:](#)

The second eligibility level is 75 percent of the State Median Income (SMI). The majority of customers served have income at or below the federal poverty level. This second threshold allows opportunities for job growth and advancement while maintaining continuity of care and promoting economic stability.

[iii. Reasonably allows a family to continue accessing child care services without unnecessary disruption:](#)

Increases in household income are not acted on until the redetermination period unless income exceeds 85 percent SMI. For example, a household size of three with income of \$1778 per month could increase by \$2267 per month (additional \$27,402 per year) and still remain eligible at the next review.

[iv. Provide the citation for this policy or procedure:](#)

DWS Eligibility Manual, Section 410 and Table 4.

Other.

Identify and describe the components that are still pending per the instructions on *CCDF Plan Response Options for Areas where Implementation is Still in Progress* in the Introduction.

3.1.7 b) To help families transition from assistance, does the Lead Agency gradually adjust copays for families eligible under the graduated phase-out period?

No

Yes

i. If yes, describe how the Lead Agency gradually adjusts copays for families under a graduated phase-out.

ii. If yes, does the Lead Agency require additional reporting requirements during the graduated phase-out period? *(Note: Additional reporting requirements are also discussed in section 3.3.3 of the plan.)*

No.

Yes.

Describe:

3.1.8 Fluctuation in earnings.

Lead Agencies are required to demonstrate how their processes for initial determination and redetermination take into account irregular fluctuations in earnings (658E(c)(2)(N)(i)(II)). The Lead Agency must put in place policies that ensure that temporary increases in income, including temporary increases that can result in a monthly income exceeding 85 percent of SMI (calculated on a monthly basis) from seasonal employment or other temporary work schedules, do not affect eligibility or family copayments (98.21(c)). Check the processes, if applicable, that the Lead Agency uses to take into account irregular fluctuations in earnings and describe, at a minimum, how temporary increases that result in a monthly income exceeding 85 percent of SMI (calculated on a monthly basis) do not affect eligibility or family copayments.

Effective Date: 10/01/2018

Average the family's earnings over a period of time (i.e. 12 months).

Describe:

Income may be anticipated, annualized or averaged to take into account such fluctuations for seasonal and varying employment.

- Request earning statements that are most representative of the family's monthly income.

Describe:

Several methods, including the use of Quarterly Wage Data, may be used to determine a best estimate of income that is most representative of future and annualized income.

- Deduct temporary or irregular increases in wages from the family's standard income level.

Describe:

Income received in pay periods that is irregular or not representative of typical earnings is excluded.

- Other.

Describe:

3.1.9 Lead Agencies are required to have procedures for documenting and verifying that children receiving CCDF funds meet eligibility criteria at the time of eligibility determination and redetermination (98.68(c)). Check the information that the Lead Agency documents and verifies and describe, at a minimum, what information is required and how often. Check all that apply.

Effective Date: 10/01/2018

- Applicant identity.

Describe:

At application, the Lead Agency documents and verifies the applicant's identity using an electronic interface. The Lead Agency requires the applicant to provide other forms of verification such as a driver's license or birth certificate if the identity is questionable. All documentation is maintained electronically through secure eligibility

systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system.

[Applicant's relationship to the child.](#)

[Describe:](#)

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

[Child's information for determining eligibility \(e.g., identity, age, citizen/immigration status\).](#)

[Describe:](#)

At application, the Lead Agency may document and verify the citizenship and age of the child through a variety of sources including a Vital Statistics interface, birth certificate, Social Security interface or other valid documents including hospital records, naturalization records and adoption records. Immigration status may be verified with an Alien Registration Card or other U.S. Citizenship and Immigration Services documentation along with a verification check through the electronic SAVE system. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system.

[Work.](#)

[Describe:](#)

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

[Job training or educational program.](#)

[Describe:](#)

The Lead Agency documents and verifies training or education programs through school schedules, course of study and estimated date of graduation. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system.

[Family income.](#)

[Describe:](#)

The Lead Agency documents and verifies income through employer and bank statements, customer statement of cash contributions, electronic verification through the Office of Recovery Services, check stubs and self-employment ledgers. All documentation is maintained electronically through secure eligibility systems or databases and is verified at application and review. Income may include wages, unearned income such as child support, Social Security and unemployment insurance, among other income specified in Utah Administrative Code R986-700-710 and R986-200. Verifications submitted by applicants are scanned and stored in an electronic imaging system. Customers must report changes in family gross income exceeding 85 percent SMI within 10 days.

[Household composition.](#)

[Describe:](#)

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

[Applicant residence.](#)

[Describe:](#)

The applicant self-certifies they are a resident of Utah. Any documentation or collateral contact that reasonably establishes the applicant's residence is accepted. All

documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system. A change of address must be reported within 10 days.

Other.

Describe:

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

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

Effective Date: 10/01/2018

Time limit for making eligibility determinations

Describe length of time:

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

Track and monitor the eligibility determination process

Other.

Describe:

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

None

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

Lead Agencies are required to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child younger than age 6 (98.16(v); 98.33(f)).

Lead Agencies must coordinate with TANF programs to ensure 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/territory 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: 10/01/2018

a) Identify the TANF agency that established these criteria or definitions: Utah Department of Workforce Services

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

"Appropriate child care":

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

"Reasonable distance":

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

"Unsuitability of informal child care":

A license exempt family, friend or neighbor (FFN) provider who does not have an active FFN Approval status as determined by Child Care Licensing to receive child care funds from the Lead Agency.

"Affordable child care arrangements":

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

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

- In writing
- Verbally
- Other.

Describe:

d) Provide the citation for the TANF policy or procedure:

DWS, Workforce Development Division Policy Manual, Section 1231-4, Child Care Not Available

3.2 Increasing Access for Vulnerable Children and Families

Lead Agencies are required to give priority for child care assistance to children with special needs, which can include vulnerable populations, in families with very low incomes and to children experiencing homelessness (658E(c)(3)(B); 98.46(a)). The prioritization of CCDF assistance services is not limited to eligibility determination (i.e., the establishment of a waiting list or the ranking of eligible families in priority order to be served).

Note:

CCDF defines "child experiencing homelessness" as a child who is homeless, as defined in Section 725 of Subtitle VII-B of the McKinney-Vento Act (42 U.S.C. 11434a) (98.2).

3.2.1 Describe how the Lead Agency defines:

Effective Date: 10/01/2018

a) "Children with special needs":

The definition includes children who have physical, social or mental conditions, or special health care needs as determined by an approved licensed professional, doctor or approved agency that requires an increase in the amount of care or supervision.

b) "Families with very low incomes":

The Lead Agency defines "families with very low incomes," as families who are TANF eligible or homeless.

3.2.2 Describe how the Lead Agency will prioritize or target child care services for the following children and families.

Effective Date: 10/01/2018

a) Identify how services are prioritized for children with special needs. Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

Families with children who have special needs, who require increased supervision, are prioritized for services through the application process. These families qualify for child care with income up to 85% SMI. They are not subject to the lower entry and exit income eligibility thresholds. They also receive a higher subsidy payment rate for the child with special needs.

b) Identify how services are prioritized for families with very low incomes. Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

c) Identify how services are prioritized for children experiencing homelessness, as defined by the CCDF. Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

Homeless families may receive Homeless Child Care Assistance when referred by a homeless agency. The Homeless Child Care program is available to families who are in sheltered care and do not meet the Employment Support Child Care work requirements. A referral must be provided by the recognized homeless agency to approve the Homeless Child Care program. Families may receive up to three months of child care to support activities including, but not limited to, employment, job search, training, shelter search, or working through a crisis situation. After three months, they may transition into Employment Support or TANF child care without having to reapply.

d) Identify how services are prioritized, if applicable, for families receiving TANF program funds, those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF (98.16(i)(4)). Check all that apply:

- Prioritize for enrollment
- Serve without placing these populations on waiting lists
- Waive copayments
- Pay higher rates for access to higher-quality care
- Use grants or contracts to reserve slots for priority populations
- Other.

Describe:

The Lead Agency prioritizes TANF families for child care customers through Transitional Child Care. This applies to those who no longer qualify for TANF assistance due to increased earnings. Families may receive Transitional Child Care, funded through TANF, for an additional six months without a copayment. These families continue to receive case management services during this time. When the transitional period ends, the case is reviewed for Employment Support Child Care, funded through CCDF.

3.2.3 List and define any other priority groups established by the Lead Agency.

N/A

Effective Date: 10/01/2018

3.2.4 Describe how the Lead Agency prioritizes services for the additional priority groups identified in 3.2.3.

N/A

Effective Date: 10/01/2018

3.2.5 Lead Agencies are required to expend CCDF funds to (1) permit the enrollment (after an initial eligibility determination) of children experiencing homelessness while required documentation is obtained, (2) provide training and TA to child care providers and the appropriate Lead Agency (or designated entity) staff on identifying and serving homeless children and families (addressed in section 6), and (3) conduct specific outreach to homeless families (658E(c)(3); 98.51).

Effective Date: 10/01/2018

a) Describe the procedures to permit the enrollment of children experiencing homelessness while required documentation is obtained.

The Lead Agency implements the following procedures for enrollment of children experiencing homelessness while required documentation is obtained. Homeless families applying for child care assistance who appear to meet the Employment Support Child Care requirements may receive an Upfront child care payment during the application period. In that case, families have 30 days to obtain additional documentation. Homeless TANF customers who meet with an employment counselor may receive an expedited child care payment, even in the absence of required documentation.

b) Check, where applicable, the procedures used to conduct outreach for children experiencing homelessness (as defined by CCDF Rule) and their families.

- Lead Agency accepts applications at local community-based locations
- Partnerships with community-based organizations
- Partnering with homeless service providers, McKinney-Vento liaisons, and others who work with families experiencing homelessness to provide referrals to child care
- Other

During the 2018 Utah General Legislative Session, a bill was passed that waives fees for obtaining birth certificates and state identification for qualified individuals and family members experiencing homelessness. The Lead Agency is instrumental in verifying the homeless status of an individual and assisting individuals to obtain this free waiver. The homeless status verification is valid for 60 days. Additionally providers are offered a TA resource for serving families experiencing homelessness. There are 30 minutes modules for staff.

Note: The Lead Agency shall pay any amount owed to a child care provider for services provided as a result of the initial eligibility determination, and any CCDF payment made prior to the final eligibility determination shall not be considered an error or improper payment (98.51(a)(1)(ii)).

3.2.6 Lead Agencies must establish a grace period that allows homeless children and children in foster care to receive CCDF assistance while providing their families with a reasonable time to take any necessary actions to comply with immunization and other health and safety requirements (as described in section 5). The length of such a grace period shall be established in consultation with the state, territorial, or tribal health agency (658E(c)(2)(I)(i)(I); 98.41(a)(1)(i)(C)).

Note:

Any payment for such a child during the grace period shall not be considered an error or improper payment (98.41(a)(1)(i)(C)(2)).

Effective Date: 03/25/2020

a) Describe procedures to provide a grace period to comply with immunization and other health and safety requirements, including how the length of the grace period was established in consultation with the state, territorial, or tribal health agency for:

Children experiencing homelessness (as defined by Lead Agency's CCDF)

The Utah Department of Health, Child Care Licensing requires providers to ensure families are in compliance with immunizations and health and safety requirements. Homeless families are given a three-month grace period to provide immunization records and/or obtain immunizations. The homeless family completes an attestation for the provider establishing they are homeless, granting a grace period to comply with the requirements. The length of the grace period and procedures were established in consultation with the Lead Agency and the Child Care Licensing program. Additionally, the Lead Agency has staff that work within the homeless community and shelters. These staff provide customers with information and resources in order to support them in obtaining records or immunizations needed for child care.

Provide the citation for this policy and procedure.

The citation in the Child Care Licensing rules for licensed centers is R381-100-6 (13)

and is found here: <https://childcarelicensing.utah.gov/rules/R381-100.pdf>. The citation in the Child Care Licensing rules for licensed family providers is R430-90-6 (12) and is found here: <https://childcarelicensing.utah.gov/rules/R430-90.pdf>.

Children who are in foster care.

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

Provide the citation for this policy and procedure.

N/A

b) Describe how the Lead Agency coordinates with licensing agencies and other relevant state, territorial, tribal, and local agencies to provide referrals and support to help families with children receiving services during a grace period comply with immunization and other health and safety requirements (98.41(a)(1)(i)(C)(4)).

The Lead Agency developed an informational flier about homeless children that has been distributed to child care providers and is accessible online through the Child Care Licensing website and the consumer education website. The flier is a tool that can be used to assist providers to know how to help homeless families and connect them to community resources.

c) Does the Lead Agency establish grace periods for other children who are not experiencing homelessness or in foster care?

No.

Yes.

Describe:

The Lead Agency has temporarily established a 90-day immunization requirement grace period for families impacted by COVID-19 who find it necessary to use an Emergency Child Care facility. This will remain in effect until ECC locations are no longer needed and Child Care Licensing ceases these operations.

3.3 Protection for Working Families

3.3.1 12-Month eligibility.

The Lead Agency is required to establish a minimum 12-month eligibility and redetermination period, regardless of changes in income (as long as the income does not exceed the federal threshold of 85 percent of the state median income) or temporary changes in participation in work, training, or educational activities (658E(c)(2)(N)(i) and (ii)).

This change means that a Lead Agency may not terminate CCDF assistance during the 12-month period if a family has an increase in income that exceeds the state's income eligibility threshold, but not the federal threshold of 85 percent of SMI. The Lead Agency may not terminate assistance prior to the end of the 12-month period if a family experiences a temporary job loss or a temporary change in participation in a training or educational activity. A temporary change in eligible activity includes, at a minimum, any time-limited absence from work for an employed parent due to such reasons as the need to care for a family member or an illness; any interruption in work for a seasonal worker who is not working; any student holiday or break for a parent participating in a training or educational program; any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program; any other cessation of work or attendance at a training or educational program that does not exceed 3 months or a longer period of time established by the Lead Agency; a child turning 13 years old during the 12-month eligibility period (except as described in 3.1.1); and any changes in residency within the state, territory, or tribal service area.

Effective Date: 06/01/2019

a) Describe the Lead Agency's policies and procedures in implementing the minimum 12-month eligibility and redetermination requirements, including when a family experiences a temporary change in activity.

At the initial application or review, the participation and copayment amount is determined. The participation and copayment amounts established for the first full benefit month are set throughout the twelve-month eligibility period regardless of allowable temporary changes in activity. The first full month indicates the month in which a full amount of participation and income is calculated. When a family experiences changes that would cause a decrease in participation level or an increase in the copayment amount, the change will not be put into effect. Customers continue to receive the same (or increased) level of care throughout the eligibility period.

b) How does the Lead Agency define "temporary change?"

The Lead Agency defines a temporary change as a time-limited absence from work and includes other temporary conditions. Temporary changes include those occurring for the following reasons: (i) medical, including maternity leave, bed rest or other medical issues of the customer or immediate family if the customer is responsible for their care.

Immediate family is defined as spouse, child, or parent of the customer. Native American families are exempt from the immediate family member definition as long as the adult or child is a member of a federally recognized tribe. Refugee families are exempt from the immediate family member definition as long as the adult or child is of the same ethnicity, culture, country or origin, religion, language and/or nationality; (ii) temporary fluctuations in earnings including not meeting minimum work or wage requirements; (iii) reductions in work, training or education hours; (iv) A holiday or break in a customer's educational or training schedule; (v) loss of employment for one or both parents; and (v) a child turning age 13 before the review period ends. Additionally, a customer changing residency within the state does not impact a customer's eligibility for child care. Customers with temporary changes remain eligible for continued assistance at the same benefit level for the remainder of the certification period.

c) Provide the citation for this policy and/or procedure.

DWS Eligibility Manual, Section 210-10

3.3.2 Option to discontinue assistance during the 12-month eligibility period.

Lead Agencies have the option, but are not required, to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of attendance at a job training or educational program, otherwise known as a parent's eligible activity (i.e., if the parent experiences a temporary change in his or her status as working or participating in a training or educational program, as described in section 3.3.1 of the plan).

If the Lead Agency chooses the option to discontinue assistance due to a parent's non-temporary loss or cessation of eligible activity, it must continue assistance at least at the same level for a period of not fewer than 3 months after each such loss or cessation for the parent to engage in a job search and to resume work or resume attendance in a job training or educational program. At the end of the minimum 3-month period of continued assistance, if the parent has engaged in a qualifying work, training, or educational program activity with an income below 85 percent of SMI, assistance cannot be terminated, and the child must continue receiving assistance until the next scheduled redetermination or, at the Lead Agency option, for an additional minimum 12-month eligibility period.

Effective Date: 06/01/2019

a) Does the Lead Agency choose to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss or cessation of eligible activity and offer a minimum 3-month period to allow parents to engage in a job search and to resume participation in an eligible activity?

No, the state/territory does not allow this option to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of attendance at a job training or educational program.

Yes, the Lead Agency discontinues assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of eligible activity and provides a minimum 3-month period of job search. If yes:

i. Provide a summary describing the Lead Agency's policies and procedures for discontinuing assistance due to a parent's non-temporary change:

ii. Describe what specific actions/changes trigger the job-search period.

iii. How long is the job-search period (must be at least 3 months)?

iv. Provide the citation for this policy or procedure.

b) The Lead Agency may discontinue assistance prior to the next 12-month redetermination in the following limited circumstances. Check and describe any circumstances in which the Lead Agency chooses to discontinue assistance prior to the next 12-month redetermination. Check all that apply.

Not applicable.

Excessive unexplained absences despite multiple attempts by the Lead Agency or designated entity to contact the family and provider, including the prior

notification of a possible discontinuation of assistance.

i. Define the number of unexplained absences identified as excessive:

Excessive absence is defined as a child attending less than eight hours by the 25th of the month. Providers are required to report if a child does not attend for at least eight hours by the 25th of the month. Since the prospective payment resulted in an overpayment to the provider, the Lead Agency does not continue to issue child care funds. The parent is given notice of closure. The parent may contact the Lead Agency within the following 30 days to have their case reopened without submitting a new application.

ii. Provide the citation for this policy or procedure:

DWS Eligibility Manual, Section 825-12

- A change in residency outside of the state, territory, or tribal service area.

Provide the citation for this policy or procedure:

DWS Eligibility Manual, Section 216

- Substantiated fraud or intentional program violations that invalidate prior determinations of eligibility.

Describe the violations that lead to discontinued assistance and provide the citation for this policy or procedure.

The violations that lead to discontinued assistance include Intentional Program Violations (IPV). An IPV occurs when a person obtains, or attempts to obtain, public assistance while knowingly making false or misleading statements. This may include misrepresenting or withholding facts, violating program regulations, using funds they know or should have known they are not eligible to receive, posing as someone else or not reporting required changes. Engaging in these behaviors and attempting to obtain, maintain or increase benefits or attempt to prevent a case from closing is an IPV. DWS Eligibility Manual, Section 825-1

3.3.3 Change reporting during the 12-month eligibility period.

The Lead Agency must describe the requirements for parents to report changes in circumstances during the 12-month eligibility period and describe efforts to ensure that such requirements do not place an undue burden on eligible families, which could impact the continuity of care for children and stability for families receiving CCDF services (98.16(h)(1)).

Note: Responses should exclude reporting requirements for a graduated phase-out, which were described in question 3.1.7(b).

Families are required to report a change to the Lead Agency at any time during the 12-month eligibility period if the family's income exceeds 85 percent of the state median income, taking into account irregular fluctuations in income (98.21(e)(1)). If the Lead Agency chooses the option to terminate assistance, as described in section 3.3.2 of the plan, they may require families to report a non-temporary change (as described in section 3.3.3 of the plan) in work, training or educational activities (otherwise known as a parent's eligible activity).

Effective Date: 03/16/2020

a) Does the Lead Agency require families to report a non-temporary change in a parent's eligible activity?

No

Yes

b) Any additional reporting requirements during the 12-month eligibility period must be limited to items that impact a family's eligibility (e.g., income changes over 85 percent of SMI or that impact the Lead Agency's ability to contact the family or pay the child care providers (e.g., a family's change of address, a change in the parent's choice of child care provider).

Check and describe any additional reporting requirements required by the Lead Agency during the 12-month eligibility period. Check all that apply.

Additional changes that may impact a family's eligibility during the 12-month period.

Describe:

Customers are required to report the following changes: (1) the household's gross monthly income exceeds 85 percent of SMI; (2) the customer no longer needs child

care; and (3) a child receiving child care moves out of the home.

Changes that impact the Lead Agency's ability to contact the family.

Describe:

Families are required to report changes of address. To be eligible families must reside in the state.

Changes that impact the Lead Agency's ability to pay child care providers.

Describe:

Families are required to report a change in providers. This also includes reporting when a child has stopped attending child care. Parents who change child care providers and do not report this change timely affect the Lead Agency's ability to pay the provider and may result in an overpayment to the former provider.

The Lead Agency is temporarily paying providers based on enrollment during the COVID-19 pandemic. In order to achieve this, parents are not required to report when a child has stopped attending care. The Lead Agency will continue to cover child care costs to reserve the slot for the eligible child whether the facility is open or has temporarily closed. If a parent reports a change in providers, the child is no longer considered enrolled with the first provider and the payment is ended. The Lead Agency will continue to re-evaluate this policy. It is expected that programs should reopen within 30 days after Utah Executive Order 2020-1 and children will be able to return to child care.

Any additional reporting requirements that the Lead Agency chooses, as its option to require from parents during the 12-month eligibility period, shall not require an office visit. In addition, the Lead Agency must offer a range of notification options to accommodate families.

c) How does the Lead Agency allow for families to report changes to ensure that reporting requirements are not burdensome and to avoid an impact on continued eligibility between redeterminations? Check all that apply.

Phone

- Email
- Online forms
- Extended submission hours
- Postal Mail
- FAX
- In-person submission
- Other.

Describe:

Web-based access is available for customer's to report changes online 24/7.

d) Families must have the option to voluntarily report changes on an ongoing basis during the 12-month eligibility period. Lead Agencies are required to act on information reported by the family if it will reduce the family's co-payment or increase the family's subsidy. Lead Agencies are prohibited from acting on information reported by the family that would reduce the family's subsidy unless the information reported indicates that the family's income exceeds 85 percent of SMI after considering irregular fluctuations in income or, at the option of the Lead Agency, the family has experienced a non-temporary change in eligible activity.

i. Describe any other changes that the Lead Agency allows families to report.

Families may report any changes at any time. The Lead Agency will only act on changes that are allowed to impact the benefit. These changes would include: changes in provider, changes in address or when care is no longer needed. The Lead Agency may also act on income or participation changes that are voluntarily reported and verified and result in an increased need for child care or a reduced copayment.

ii. Provide the citation for this policy or procedure.

DWS Eligibility Manual, Sections 750-2, 750-5A and 750-5B

3.3.4 Prevent the disruption of employment, education, or job training activities

Lead Agencies are required to have procedures and policies in place to ensure that parents (especially parents receiving assistance under the TANF program) are not required to unduly disrupt their employment, education, or job training activities to comply with the Lead Agency's or designated local entity's requirements for the redetermination of eligibility for assistance

(658E(c)(2)(N)(ii); 98.21(d)).

Examples include developing strategies to inform families and their providers of an upcoming redetermination and the information that will be required of the family, pre-populating subsidy renewal forms, having parents confirm that the information is accurate, and/or asking only for the information necessary to make an eligibility redetermination. In addition, states and territories can offer a variety of family-friendly methods for submitting documentation for eligibility redetermination that considers the range of needs for families in accessing support (e.g. use of languages other than English, access to transportation, accommodation of parents working non-traditional hours, etc.).

Effective Date: 10/01/2018

a) Identify, where applicable, the Lead Agency's procedures and policies to ensure that parents (especially parents receiving TANF program funds) do not have their employment, education, or job training unduly disrupted to comply with the state/territory's or designated local entity's requirements for the redetermination of eligibility.

- Advance notice to parents of pending redetermination
- Advance notice to providers of pending redetermination
- Pre-populated subsidy renewal form
- Online documentation submission
- Cross-program redeterminations
- Extended office hours (evenings and/or weekends)
- Other.

Describe:

The Lead Agency ensures that redetermination of eligibility does not interfere with parent's employment or education by sending reviews approximately six weeks prior to the benefit effective month of the next review cycle. An interview is not required. Parents may complete the recertification process online or complete a paper review form. Parents have the ability to upload needed verifications. The Lead Agency also uses electronic verifications for employment or income, when available. Providers can view the review month for each customer on their portal so that they are aware of pending redeterminations.

b) How are families allowed to submit documentation, described in 3.1.9, for redetermination? Check all that apply.

- Postal Mail
- Email
- Online forms
- FAX
- In-person submission
- Extended submission hours
- Other.

Describe:

The Lead Agency uses electronic verification sources for income and employment. Web-based access is available for customers to apply online, report changes, complete reviews, and view online case status information and notices 24/7. An automated phone system is available to get updated case information as well. The Lead Agency has a statewide Call Center and statewide Imaging System. There is no in-person requirement for redetermination. Customers may fax requested verifications. The same verifications are used for multiple programs. Many electronic sources are also used to verify information.

3.4 Family Contribution to Payments

Lead Agencies are required to establish and periodically revise a sliding-fee scale for CCDF families that varies based on income and the size of the family to determine each family's contribution (i.e., co-payment) that is not a barrier to families receiving CCDF funds (658E(c)(5)). In addition to income and the size of the family, the Lead Agency may use other factors when determining family contributions/co-payments. Lead Agencies, however, may NOT use cost of care or amount of subsidy payment in determining copayments (98.45(k)(2)).

Note: To help families transition off of child care assistance, Lead Agencies may gradually adjust co-pay amounts for families determined to be eligible under a graduated phase-out. However, section 3.4 applies only to families in their initial/entry eligibility period. See section 3.1.7 Graduated Phase-Out regarding co-pays during the graduated phase-out period.

3.4.1 Provide the CCDF co-payments in the chart below according to family size for one child in care.

Effective Date: 05/01/2020

a) Fill in the chart based on the most populous area of the State (area serving highest number of CCDF children).

Family Size	(a) Lowest Initial or First Tier Income Level Where Family Is First Charged Co-Pay (Greater Than \$0)	(b) What Is the Monthly Co-Payment for a Family of This Size Based on the Income Level in (a)?	(c) The Co-Payment in Column (b) is What Percentage of the Income in Column (a)?	(d) Highest Initial or First Tier Income Level Before a Family Is No Longer Eligible	(e) What Is the Monthly Co-Payment for a Family of This Size Based on the Income Level in (d)?	(f) The Co-Payment in Column (e) is What Percentage of the Income in Column (d)?
1	N/A	N/A	N/A	N/A	N/A	N/A
2	N/A	N/A	N/A	\$3712	\$0	0%
3	N/A	N/A	N/A	\$4585	\$0	0%
4	N/A	N/A	N/A	\$5458	\$0	0%
5	N/A	N/A	N/A	\$6332	\$0	0%

b) What is the effective date of the sliding-fee scale(s)? 05/01/2020. This is a temporary change. See 3.4.4.

c) Identify the most populous area of the state used to complete the chart above.

Salt Lake County

d) Provide the link to the sliding-fee scale:

<https://jobs.utah.gov/occ/provider/incomeeligcopay.pdf>

e) If the sliding-fee scale is not statewide, describe how many jurisdictions set their own sliding-fee scale (98.16(i)(3)).

N/A

3.4.2 How will the family's contribution be calculated, and to whom will it be applied?

Check all that apply.

Effective Date: 10/01/2018

- The fee is a dollar amount and:
 - The fee is per child, with the same fee for each child.
 - The fee is per child and is discounted for two or more children.
 - The fee is per child up to a maximum per family.
 - No additional fee is charged after certain number of children.
 - The fee is per family.
 - The contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1).

Describe:

- Other.

Describe:

- The fee is a percent of income and:
 - The fee is per child, with the same percentage applied for each child.
 - The fee is per child, and a discounted percentage is applied for two or more children.
 - The fee is per child up to a maximum per family.
 - No additional percentage is charged after certain number of children.
 - The fee is per family.
 - The contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1).

Describe:

- Other.

Describe:

The income in columns 3.4.1 (a) and (d) represent adjusted gross income after

allowable standard deductions are taken. The copayment percentages are pre-set based on the mid-point income of each income range.

3.4.3 Does the Lead Agency use other factors in addition to income and family size to determine each family's co-payment (658E(c)(3)(B))? Reminder ' Lead Agencies may NOT use cost of care or amount of subsidy payment in determining copayments (98.45(k)(2)).

Effective Date: 10/01/2018

- No.
- Yes, check and describe those additional factors below.

- Number of hours the child is in care.

Describe:

- Lower co-payments for a higher quality of care, as defined by the state/territory.

Describe:

- Other.

Describe:

3.4.4 The Lead Agency may waive contributions/co-payments from families whose incomes are at or below the poverty level for a family of the same size (98.45(k)) or for families who are receiving or needing to receive protective services, as determined for purposes of CCDF eligibility, or who meet other criteria established by the Lead Agency (98.45(k)(4)). Does the Lead Agency waive family contributions/co-payments for any of the following? Check all that apply.

Effective Date: 03/16/2020

- No, the Lead Agency does not waive family contributions/co-payments.
- Yes, the Lead Agency waives family contributions/co-payments for families with an income at or below the poverty level for families of the same size.

- Yes, the Lead Agency waives family contributions/co-payments for families who are receiving or needing to receive protective services, as determined by the Lead Agency for purposes of CCDF eligibility.

Describe the policy and provide the policy citation.

During the COVID-19 health crisis, the definition of protective services in the Utah State Plan, section 3.1.2(d) has expanded to include children of essential workers who may not qualify for child care assistance. The copayment has been waived for these families temporarily and will end when it is determined there is no longer a need for Emergency Child Care facilities to operate.

- Yes, the Lead Agency waives family contributions/co-payments for other criteria established by the Lead Agency.

Describe the policy and provide the policy citation.

Due to the widespread economic impact of COVID-19, the Lead Agency has determined that all families are directly or indirectly impacted by this pandemic. Effective May 1, 2020, the Lead Agency considers all families to meet criteria to warrant waiving the copayment on a temporary basis. Waiving the copayment for all families will alleviate undue hardships on families while supporting child care providers who have also been financially impacted by ensuring the copayment amounts are paid. The Lead Agency anticipates that this waiver will be needed until some steps have been taken for the economy to recover and child care programs have reopened.

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

A core purpose of CCDF is to promote parental choice and to empower working parents to make their own decisions regarding the child care services that best suit their family's needs. Parents have the option to choose from center-based care, family child care or care provided in the child's own home. In supporting parental choice, the Lead Agencies must ensure that families receiving CCDF funding have the opportunity to choose from the full range of eligible child care settings and must provide families with equal access to child care that is comparable to that of non-CCDF families. Lead Agencies must employ strategies to increase the supply and to improve the quality of child care services, especially in underserved areas. This section addresses strategies that the Lead Agency uses to promote parental choice, ensure equal access, and increase the supply of child care. Note: In responding to questions in this section,

the Office of Child Care (OCC) recognizes that each State/Territory identifies and defines its own categories and types of care. The OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories and types of care. For these questions, provide responses that closely match the CCDF categories of care.

4.1 Parental Choice in Relation to Certificates, Grants, or Contracts

The parent(s) of each eligible child who receive(s) or is offered financial assistance for child care services has the option of either receiving a child care certificate or, if available, enrolling his or her child with a provider that has a grant or contract for providing child care services (658E(c)(2)(A); 98.30(a)). Even if a parent chooses to enroll his or her child with a provider who has a grant or contract, the parent will select the provider, to the extent practicable. If a parent chooses to use a certificate, the Lead Agency shall provide information to the parent on the range of provider options, including care by sectarian providers and relatives. Lead Agencies must require providers chosen by families to meet health and safety standards and has the option to require higher standards of quality. Lead agencies are reminded that any policies and procedures should not restrict parental access to any type of care or provider (e.g. center care, home care, in-home care, for-profit provider, non-profit provider or faith-based provider, etc.) (98.15 (a)(5)).

4.1.1 Describe the child care certificate, including when it is issued to parents (before or after the parent has selected a provider) and what information is included on the certificate (98.16 (q)).

The Lead Agency does not issue “child care certificates,” as the term is generally understood. Rather, when a parent applies for child care they are provided with customer education that covers the eligibility requirements for the program, information about the review process, the changes that must be reported, and instructed to select an approved provider of their choice. A link to careaboutchildcare.utah.gov is included on the application along with information about selecting an FFN provider, in case they have not yet identified a provider. The consumer education statement outlined in Section 2.7 is also included.

Consumer education materials are also available through the Lead Agency’s website, jobs.utah.gov and careaboutchildcare.utah.gov. An approved provider must be selected prior to payment being issued. Once child care has been approved, the parent receives an approval notice with additional payment information including the subsidy amount, co-

payment amount and when the next review is due.

Effective Date: 10/01/2018

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

Effective Date: 10/01/2018

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

Describe:

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

4.1.3 Child care services available through grants or contracts.

Effective Date: 10/01/2018

a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots (658A(b)(1))? Note: Do not check 'yes' if every provider is simply required to sign an agreement to be paid in the certificate

program.

No. If no, skip to 4.1.4.

Yes, in some jurisdictions but not statewide.

If yes, describe how many jurisdictions use grants or contracts for child care slots.

Yes, statewide. If yes, describe:

i. How the Lead Agency ensures that parents who enroll with a provider who has a grant or contract have choices when selecting a provider:

ii. The type(s) of child care services available through grants or contracts:

iii. The entities that receive contracts (e.g., shared services alliances, CCR&R agencies, FCC networks, community-based agencies, child care providers):

iv. The process for accessing grants or contracts:

v. How rates for contracted slots are set through grants and contracts:

vi. How the Lead Agency determines which entities to contract with for increasing supply and/or improving quality:

vii. If contracts are offered statewide and/or locally:

4.1.3 Child care services available through grants or contracts.

b) Will the Lead Agency use grants or contracts for child care services to increase the supply and/or quality of specific types of care? Check all that apply.

Programs to serve children with disabilities

Programs to serve infants and toddlers

Programs to serve school-age children

Programs to serve children needing non-traditional hour care

Programs to serve children experiencing homelessness

Programs to serve children in underserved areas

- Programs that serve children with diverse linguistic or cultural backgrounds
- Programs that serve specific geographic areas
 - Urban
 - Rural
- Other
 - Describe
 - N/A

4.1.3 Child care services available through grants or contracts.

c) Will the Lead Agency use grants or contracts for child care services to increase the quality of specific types of care? Check all that apply.

- Programs to serve children with disabilities
- Programs to serve infants and toddlers
- Programs to serve school-age children
- Programs to serve children needing non-traditional hour care
- Programs to serve homeless children
- Programs to serve children in underserved areas
- Programs that serve children with diverse linguistic or cultural backgrounds
- Programs that serve specific geographic areas
 - Urban
 - Rural
- Other
 - Describe
 - N/A

4.1.4 Certify by describing the Lead Agency's procedures for ensuring that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds (658E(c)(2)(B); 98.16(t)).

Child Care Licensing Rules require providers to allow parents to access their children

whenever their children are in the care of a provider. This is covered as part of the Provider Licensing Orientation. The Administrative Rule citations addressing this are R381-100/70/60-13(2) and R430-90/50-13-(2). Approved FFN providers must ensure parents have access to all areas of the home used for care and ensure parents are aware when children are off premises. This is included in the FFN Approval requirements and is found at <https://childcarelicensing.utah.gov/DWS%20Child%20Care/FFN%20Requirements.pdf> in the "Parents" section.

Effective Date: 10/01/2018

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

Effective Date: 10/01/2018

- No.
- Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all that apply.
 - Restricted based on minimum the number of children in the care of the provider to meet the Fair Labor Standards Act (minimum wage) requirements.
Describe:
 - Restricted based on the provider meeting a minimum age requirement. (A relative provider must be at least 18 years of age based on the definition of eligible child care provider (98.2).
Describe:
The provider must be at least 18 years of age.
 - Restricted based on the hours of care (i.e., certain number of hours, non-traditional work hours).
Describe:

- Restricted to care by relatives.

Describe:

- Restricted to care for children with special needs or a medical condition.

Describe:

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

- Restricted to in-home providers that meet additional health and safety requirements beyond those required by CCDF.

Describe:

All license-exempt providers are subject to the FFN requirements.

- Other.

Describe:

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

4.2 Assessing Market Rates and Child Care Costs

Lead Agencies have the option to conduct a statistically valid and reliable (1) market rate survey (MRS) reflecting variations in the price to parents of child care services by geographic area, type of provider, and age of child and/or (2) an alternative methodology, such as a cost estimation model (658E(c)(4)(B)). A cost estimation model estimates the cost of care by incorporating both data and assumptions to model what expected costs would be incurred by child care providers and parents under different cost scenarios. Another approach would be a cost study that collects cost data at the facility or program level to measure the costs (or inputs used) to deliver child care services. The MRS or alternative methodology must be developed and conducted no earlier than 2 years before the date of submission of the Plan.

Note - Any Lead Agency considering using an alternative methodology, instead of a market rate survey, is required to submit a description of its proposed approach to its ACF Regional Child Care Program Office for pre-approval in advance of the Plan submittal (see <https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-08>). Advance approval is not required if the Lead Agency plans to implement both a market rate survey and an alternative methodology. In its request for ACF pre-approval, a Lead Agency must:

- Provide an overview of the Lead Agency's proposed approach (e.g., cost estimation model, cost study/survey, etc.), including a description of data sources.
- Describe how the Lead Agency will consult with the State's Early Childhood Advisory Council or similar coordinating body, local child care program administrators, local child care resource and referral agencies, organizations representing child care caregivers, teachers and directors, and other appropriate entities prior to conducting the identified alternative methodology.
- Describe how the alternative methodology will use methods that are statistically valid and reliable and will yield accurate results. For example, if using a survey, describe how the Lead Agency will ensure a representative sample and promote an adequate response rate. If using a cost estimation model, describe how the Lead Agency will validate the assumptions in the model.
- If the proposed alternative methodology includes an analysis of costs (e.g., cost estimation model or cost study/survey), describe how the alternative methodology will account for key factors that impact the cost of providing care such as: staff salaries and benefits, training and professional development, curricula and supplies, group size and ratios, enrollment levels, licensing requirements, quality level, facility size, and other factors.
- Describe how the alternative methodology will provide complete information that captures the universe of providers in the child care market.
- Describe how the alternative methodology will reflect variations by provider type, age of children, geographic location and quality.
- Describe how the alternative methodology will use current, up to date data.
- Describe the estimated reporting burden and cost to conduct the approach.

4.2.1 Please identify the methodology(ies) used below to assess child care prices and/or costs.

Effective Date: 10/01/2018

MRS

Alternative methodology.

Describe:

Both.

Describe:

4.2.2 Prior to developing and conducting the MRS or alternative methodology, the Lead Agency is required to consult with the (1) State Advisory Council or similar coordinating body, local child care program administrators, local child care resource and referral agencies, and other appropriate entities and (2) organizations representing caregivers, teachers, and directors (98.45 (e)).

Describe how the Lead Agency consulted with the:

Effective Date: 08/03/2020

a) State Advisory Council or similar coordinating body:

The CCDF State Administrator of the Lead Agency serves on the State Advisory Council (Early Childhood Utah). Prior to release of the survey, the State Advisory Council was consulted on the survey and the timeline for the process of conducting it. The Council expressed support for the survey instrument and process. Upon completion and analysis of the survey, the Council was again consulted prior to the report's release.

b) Local child care program administrators:

The Lead Agency held several meetings in preparation for the market rate survey design and implementation. Local child care program administrators were included through consultation with the State Advisory Council and OCC Advisory Board meetings. In addition, the Lead Agency consulted with representatives from its Workforce

Development Division and Eligibility Services Division in the design of the survey instrument and the final report.

c) Local child care resource and referral agencies:

The Lead Agency consulted with resource and referral agencies in the planning and development of the market rate study. This included the data collection process, formulating the results and compiling the data. The Lead Agency also consulted with the directors of the resource and referrals agencies for input on the market rate study and timeline.

d) Organizations representing caregivers, teachers, and directors:

The Lead Agency presented the market rate study process and timeline to the Office of Child Care Advisory Board for consultation and approval. This board has representative from private family and center child care associations, small businesses, community partners and other government agencies. The meeting is open to the public. Stakeholder comments were incorporated throughout the process.

e) Other. Describe:

N/A

4.2.3 Describe how the market rate survey is statistically valid and reliable. To be considered valid and reliable, the MRS must represent the child care market, provide complete and current data, use rigorous data collection procedures, reflect geographic variations, and analyze data in a manner that captures other relevant differences. For example, market rate surveys can use administrative data, such as child care resource and referral data, if they are representative of the market. If an alternative methodology, such as cost modeling, is used, demonstrate that the methodology used reliable methods.

The Lead Agency ensured that its 2017 Market Rate Survey was valid and reliable by working directly with the state's CCR&R agencies, Care About Childcare (CAC), and applying statistical techniques to weight the sample. The CCR&R agencies throughout the state are contracted with the Lead Agency to provide community based care information and child care referral services.

A critical component of the CAC's work is their contact with child care providers. The CAC's track regulated child care providers serving their geographical areas. Child care providers on the CAC databases voluntarily report their child care rates, slots and vacancies. During the time the 2017 market rate study was completed, there were 311 centers and 774 licensed family providers statewide.

In coordination, the CACs worked with the Lead Agency to contact the licensed providers to support their completion of the market rate study. This direct outreach resulted in a response rate to the survey of 98 percent. In addition, licensed family provider rates were weighted using total provider capacity. Licensed center provider rates were weighted by capacity per age. These factors provide assurance that the survey results are statistically valid and reliable.

Effective Date: 10/01/2018

4.2.4 Describe how the market rate survey or alternative methodology reflects variations in the price or cost of child care services by:

Effective Date: 0

a) Geographic area (e.g., statewide or local markets). Describe:

Data was collected for each county. The survey includes statewide results and a breakdown of urban and rural rates to analyze the rates throughout the state. This geographic breakdown allows the Lead Agency to evaluate rates based on variations in the cost of child care in different parts of the state.

b) Type of provider. Describe:

The market rate study reflects variations in cost of child care based on the type of provider. The Lead Agency surveyed the following types of providers to understand that variation in cost, including the following: licensed centers, licensed family child care and regulated providers with a residential certificate. In addition, the survey requested various rates from each type of provider including monthly rates, part-time rates or smaller

increments of care, where applicable.

c) Age of child. Describe:

The market rate study reflects variations in cost of child care based on the ages of children cared for by providers. The market survey requested providers share rates based on the ages of children in care. The age ranges included the following: 0-11 months, 1-year olds, 2-year olds, 3-year olds, 4-year olds, 5-year olds (not in Kindergarten), 5 year olds (in Kindergarten), School-Age, ages 6-8 and School-Age, ages 9-12.

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

In its 2017 market rate study, the Lead Agency included questions to examine information about quality. The questions included the educational level of the director, assistant director and caregivers. Additional questions included whether a program utilized developmental screening tools, whether the provider offered an educational program for children ages 3-5, and whether it used a commercial curriculum.

4.2.5 After conducting the market rate survey or alternative methodology, the Lead Agency must prepare a detailed report containing the results of the MRS or alternative methodology. The detailed report must also include the estimated cost of care (including any relevant variation by geographic location, category of provider, or age of child) necessary to support (1) child care providers' implementation of the health, safety, quality, and staffing requirements and (2) higher quality care, as defined by the Lead Agency using a quality rating and improvement system or other system of quality indicators, at each level of quality. For States without a QRIS, the States may use other quality indicators (e.g. provider status related to accreditation, pre-K standards, Head Start performance standards, or State defined quality measures.)

Effective Date: 10/01/2018

Describe how the Lead Agency made the results of the market rate survey or alternative methodology report widely available to the public (98.45(f)(1)). by responding to the questions below.

a) Date of completion of the market rate survey or alternative methodology (must be no earlier than July 1, 2016, and no later than July 1, 2018). 11/30/2017

b) Date the report containing results was made widely available - no later than 30 days after the completion of the report. 12/19/2017

c) Describe how the Lead Agency made the detailed report containing results widely available and provide the link where the report is posted.

The completion of the market rate study was announced to the Office of Child Care State Advisory Council and posted online at <https://jobs.utah.gov/occ/occmrket.pdf> as soon as the report was available.

d) Describe how the Lead Agency considered stakeholder views and comments in the detailed report.

The Lead Agency considered stakeholder comments, which were considered and implemented throughout the market rate study process. Prior to release, the survey instrument was circulated to various stakeholders, including the CCR&R agencies, for feedback. In addition, views and comments were shared by stakeholders regarding the process for releasing the survey to providers. While the survey was circulating, providers had the ability to contact their respective CCR&R agency to answer questions on the survey.

4.3 Setting Payment Rates

The Lead Agency must set CCDF subsidy payment rates, in accordance with the results of the current MRS or alternative methodology, at a level to ensure equal access for eligible families to child care services that are comparable with those provided to families not receiving CCDF funds. The Lead Agency must re-evaluate its payment rates at least every 3 years.

4.3.1 Provide the base payment rates and percentiles (based on the most recent MRS) for the following categories below. Percentiles are not required if the Lead Agency conducted an alternative methodology only (with pre-approval from ACF), but must be reported if the Lead Agency conducted an MRS alone or in combination with an alternative methodology. The ages and types of care listed below are meant to provide a

snapshot of the categories on which rates can be based and are not intended to be comprehensive of all categories that might exist or to reflect the terms used by the Lead Agency for particular ages. Please use the most populous geographic region (area serving highest number of CCDF children) to report base payment rates below, if they are not statewide. Note: If the Lead Agency obtained approval to conduct an alternative methodology, then reporting of percentiles is not required.

Effective Date: 09/01/2020

a) Infant (6 months), full-time licensed center care in the most populous geographic region

Rate \$ 936 per month unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 80th

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

Rate \$ 700 per month unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 80th

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

Rate \$ 936 per month unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 80th

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

Rate \$ 700 per month unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 80th

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

Rate \$ 689 per month unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 80th

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

Rate \$ 610 per month unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 80th

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

Rate \$ 620 per month unit of time (e.g., daily, weekly, monthly, etc.)

Percentile of most recent MRS: 80th

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

Rate \$ 575 per month unit of time (e.g., daily, weekly, monthly)

Percentile of most recent MRS: 80th

i) Describe how part-time and full-time care were defined and calculated.

For the MRS, each part-time table included the average for monthly, weekly, daily and hourly rates. The tables do not distinguish the number of hours or days, and may vary within each part-time rate type. The full-time rate is a monthly rate only. Each child care provider defined their own part-time and full-time rates based on their business practices. The Lead Agency has established two part-time subsidy payment rates and two full-time subsidy payment rates based on parent participation.

j) Provide the effective date of the current payment rates (i.e., date of last update based on most recent MRS). 09/01/2020

k) Identify the most populous area of the state used to complete the responses above.

Salt Lake County

l) Provide the citation or link, if available, to the payment rates.

<https://jobs.utah.gov/occ/provider/maxmonthsub.pdf>

m) If the payment rates are not set by the Lead Agency for the entire state/territory, describe how many jurisdictions set their own payment rates (98.16(i)(3)).

N/A

4.3.2 Lead Agencies can choose to establish tiered rates, differential rates, or add-ons on top of their base rates as a way to increase payment rates for targeted needs (i.e., a higher rate for special needs children as both an incentive for providers to serve children with special needs and as a way to cover the higher costs to the provider to provide care for special needs children).

Check and describe the types of tiered reimbursement or differential rates, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, at a minimum, indicate the process and basis used for determining the tiered rates, including if the rates were based on the MRS and/or an alternative methodology, and the amount of the rate. Check all that apply.

Effective Date: 10/01/2018

Differential rate for *non-traditional hours*.

Describe:

Differential rate for *children with special needs*, as defined by the state/territory.

Describe:

Children ages two and older with special needs are subsidized at the infant rate in the provider tier being used. Infants with special needs are subsidized at the infant rate of the next higher provider tier. For example, a 5-year old with special needs in a family licensed home setting will be paid at the family licensed home infant rate.

Differential rate for *infants and toddlers*. Note: Do not check if the Lead Agency has a different base rate for infants/toddlers with no separate bonus or add-on.

Describe:

Differential rate for *school-age programs*. Note: Do not check if the Lead Agency has a different base rate for school-age children with no separate bonus or add-on.

Describe:

Differential rate for higher quality, as defined by the state/territory.

Describe:

Other differential rates or tiered rates.

Describe:

Tiered or differential rates are not implemented.

4.4 Summary of Facts Used To Determine That Payment Rates Are Sufficient To Ensure Equal Access

4.4.1 Lead Agencies must certify that CCDF payment rates are sufficient to ensure equal access for eligible families to child care services comparable to those provided by families not receiving CCDF assistance (98.16(a)). Certify that payment rates reported in 4.3.1 are sufficient to ensure equal access by providing the following summary of facts (98.45(b)):

Effective Date: 10/01/2018

a) Describe how a choice of the full range of providers eligible to receive CCDF is made available; the extent to which eligible child care providers participate in the CCDF system; and any barriers to participation, including barriers related to payment rates and practices.

The child care information section on the child care application explains that a customer may select the type of provider that best meets the needs of their family. Customers are also directed to <https://careaboutchildcare.utah.gov>. Parents eligible for CCDF have sufficient choice of the full range of providers, as demonstrated by the overwhelming rate of providers that have complied with CCDF requirements and accept CCDF subsidy payments. In Utah, 96 percent of licensed center providers and 94 percent of licensed family have complied with CCDF requirements allowing them to serve families receiving child care assistance. The biggest barrier for providers relating to payment practices is the ability to collect additional fees from the customer, such as the copayment or child care payments when a family may have been ineligible for CCDF but child care services were provided.

b) Describe how payment rates are adequate and have been established based on the most recent MRS or alternative methodology . Note: Per the preamble (81 FR 67512), in instances where a MRS or alternative methodology indicates that prices or costs have increased, Lead Agencies must raise their rates as a result.

Payment rates for all age groups in licensed family and licensed center care were increased to the 80th percentile of the 2017 Utah Child Care Market Rate Study. Rate increases were also made for other provider types. Setting the rates above the recommended benchmark supports equal access to care. Additionally, the 2017 Utah Child Care Market Rate Study revealed that 96 percent of licensed center providers and 94 percent of licensed family providers accept child care subsidy payments. This is an indication that payment rates are adequate.

c) Describe how base payment rates enable providers to meet health, safety, quality, and staffing requirements under CCDF.

The Lead Agency has determined that payment rates enable providers to meet health, safety, quality and staffing requirements. The base payment rates are addressing the cost of meeting health, safety, quality and staffing requirements given that providers accepting subsidy are meeting Utah's standards and rules in all of these areas. Additionally, the base payment rate enables providers to meet the cost of these requirements and as a result providers are not charging families additional fees beyond the required co-payment. The Lead Agency determines that the payment rates are enabling providers to cover the costs associated with these activities given that its 2017 Utah Child Care Market Rate Study revealed that 66 percent of licensed center and 98 percent of licensed family do not charge families additional payments beyond the subsidy and co-payment amounts.

d) Describe how the Lead Agency took the cost of higher quality into account, including how payment rates for higher-quality care, as defined by the Lead Agency using a QRIS or other system of quality indicators, relate to the estimated cost of care at each level of quality. Note: For States without a QRIS, the States may use other quality indicators (e.g. provider status related to accreditation, Pre-K standards, Head Start performance standards, or State defined quality measures).

On October 1, 2019 the Lead Agency launched the Child Care Quality System (CCQS), Utah's QRIS, for center-based programs. Center-based programs that achieve the High Quality or High Quality Plus certified quality ratings are eligible to receive an Enhanced

Subsidy Grant. The Enhanced Subsidy Grant is a monthly payment in addition to the regular subsidy payment the program receives. The Enhanced Subsidy Grant is based on the average number of children served in the 12-month CCQS documentation period that had their care paid for through child care subsidies. The average number of children is multiplied by \$175 for High Quality ratings and by \$200 for High Quality Plus ratings to calculate the monthly Enhanced Subsidy Grant. The Enhanced Subsidy Grant amount is based on the costs associated with providing quality care, such as the cost of professional development for staff, wages to employ better trained staff and directors, the cost of hiring a coach to work with staff, etc.

e) How will the Lead Agency ensure that the family contribution/co-payment, based on a sliding-fee scale, is affordable and is not a barrier to families receiving CCDF funds (98.16 (k))? Check all that apply.

Limit the maximum co-payment per family.

Describe: .

N/A

Limit the combined amount of co-payment for all children to a percentage of family income. List the percentage of the co-payment limit and

There are 16 income groups. Families at the maximum income eligibility levels (income groups 9 -16) do not pay more than eight percent of income for one child in care and no more than 10 percent of their household income for three or more children in care.

Minimize the abrupt termination of assistance before a family can afford the full cost of care ('the cliff effect') as part of the graduated phase-out of assistance discussed in 3.1.7.

Having 16 income groups creates a gradual effect on families as income increases. A customer's household income may increase during the 12-month redetermination period while the copayment remains the same. The 12-month interim period allows for customers to increase their income up to 85% SMI with no change to their copayment. This allows for stability and financial planning before the next redetermination when the copayment is re-assessed.

Other.

Describe:

The Lead Agency waives co-payments for families with an income at or below the poverty level for families of the same size.

f) To support parental choice and equal access to the full range of child care options, does the Lead Agency choose the option to allow providers to charge families additional amounts above the required co-payment in instances where the provider's price exceeds the subsidy payment (98.45(b)(5))?

No

Yes. If yes:

i. Provide the rationale for the Lead Agency's policy to allow providers to charge families additional amounts above the required co-payment, including a demonstration of how the policy promotes affordability and access for families.

The Lead Agency allows providers to charge families additional amounts above the required co-payment to meet the CCDF priority of ensuring access to child care for families and ensure parent choice in selecting a provider. This gives families access to more providers. They may have other resources such as a relative or employer willing to help pay the additional costs of care. Additionally, fewer providers may choose to take families receiving assistance if they are prohibited from charging additional amounts above the copayment. This restricts access to providers.

ii. Provide data (including data on the size and frequency of such amounts) on the extent to which CCDF providers charge additional amounts to families.

In the Lead Agency's most recent market rate study, released December 2017, a majority of providers reported they do not charge an additional monthly amount in excess of the co-payment. 63 percent of licensed centers and 66 percent of licensed family providers responded to the question of whether they collected in excess of the subsidy and the copayment. Of these respondents, 66 percent of licensed providers reported they did not collect monthly payments in excess of the subsidy and copayment amount, while 98 percent of licensed family providers said they did not collect payments in excess.

iii. Describe the Lead Agency's analysis of the interaction between the additional amounts charged to families with the required family co-payment, and the ability of current subsidy payment rates to provide access to care without additional fees.

As noted above, although the Lead Agency allows providers to charge additional fees beyond the co-payment, families use the subsidy to access the majority of licensed providers throughout the state. Families covered by subsidy have access to 66 percent of licensed center and 98 percent of licensed family providers without incurring additional costs beyond the co-payment.

g) Describe how Lead Agencies' payment practices described in 4.5 support equal access to a range of providers.

The Lead Agency's payment practices support equal access to a range of providers because it has adopted payment practices that align with business practices of private providers. The Lead Agency provides payments at the beginning of the month for families covered by CCDF subsidies. The provider may retain the full subsidy payment so long as the child attends at least eight hours during the month. This supports providers to reserve the child's spot for the month and provide payment for the fixed costs of child care such as paying for staff, purchasing food and paying rent or mortgages. Additionally, the Lead Agency provides payments directly to providers through direct deposit. It also developed an online provider portal to allow providers to conveniently and easily review cases and manage and report any changes. These payment practices support equal access and encourage provider participation in the child care assistance program.

h) Describe how and on what factors the Lead Agency differentiates payment rates. Check all that apply.

Geographic area.

Describe:

Type of provider.

Describe:

There are five provider types with varying rates: Licensed center, licensed family child care, residential certificate, license-exempt programs and license-exempt FFN care.

Age of child.

Describe:

The rates are divided by six age categories: zero to 23 months, two years old, three-years old, four-years old, five-years old and ages 6 to 12.

Quality level.

Describe:

Other.

Describe:

i) Describe any additional facts that the Lead Agency considered in determining its payment rates to ensure equal access. Check all that apply and describe:

Payment rates are set at the 75th percentile benchmark or higher of the most recent MRS.

Describe:

Payment rates are set at the 80th percentile of the 2017 Utah Market Rate Study for all age groups in licensed family and licensed center care. Setting the rates above the benchmark supports equal access.

Based on the approved alternative methodology, payments rates ensure equal access.

Describe:

Feedback from parents, including parent surveys or parental complaints.

Describe:

Other.

Describe:

4.5 Payment Practices and the Timeliness of Payments

Lead Agencies are required to demonstrate that they have established payment practices applicable to all CCDF child care providers that include ensuring the timeliness of payments by either (1) paying prospectively prior to the delivery of services or (2) paying within no more than 21 calendar days of the receipt of a complete invoice for services. To the extent practicable, the Lead Agency must also support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by (1) paying based on a child's enrollment rather than attendance, (2) providing full payment if a child attends at least 85 percent of the authorized time, (3) providing full payment if a child is absent for 5 or fewer days in a month, or (4) using an alternative approach for which the Lead Agency provides a justification in its Plan (658E(c)(2)(S)(ii); 98.45(l)(2)).

Lead Agencies are required to use CCDF payment practices that reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF-funded assistance. Unless a Lead Agency is able to demonstrate that the following policies are not generally accepted in its particular state, territory, or service area or among particular categories or types of providers, Lead Agencies must (1) pay providers based on established part-time or full-time rates rather than paying for hours of service or smaller increments of time and (2) pay for reasonable, mandatory registration fees that the provider charges to private-paying parents (658E(c)(2)(S); 98.45(l)(3)).

In addition, there are certain other generally accepted payment practices that are required. Lead Agencies are required to ensure that child care providers receive payment for any services in accordance with a payment agreement or an authorization for services, ensure that child care providers receive prompt notice of changes to a family's eligibility status that could impact payment, and establish timely appeal and resolution processes for any payment inaccuracies and disputes (98.45(l)(4) through (6); 658E(c)(2)(S)(ii); 98.45(l)(4); 98.45(l)(5); 98.45(l)(6)).

4.5.1 Certify by identifying and describing the payment practices below that the Lead Agency has implemented for all CCDF child care providers.

Effective Date: 03/16/2020

a) Ensure the timeliness of payments by either (Lead Agency to implement at least one of the following):

Paying prospectively prior to the delivery of services.

Describe the policy or procedure.

Ongoing monthly payments are available by direct deposit to providers at the beginning of each month. It takes approximately two to three business days for the payment to be deposited. The Lead Agency issues the payment two business days prior to the end of the month so that the prospective payment is available on or about the first day of each month. Providers who have not provided banking information receive a check mailed on the first day of the month. New child care subsidy applicants appearing eligible based on their customer statement, may qualify for an upfront payment that is approved during the initial review of the application. The customer has the remainder of the 30-day application period to submit verifications to determine ongoing eligibility.

Paying within no more than 21 calendar days of the receipt of a complete invoice for services.

Describe the policy or procedure.

N/A

b) To the extent practicable, support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by: (Note: The Lead Agency is to choose at least one of the following):

Paying based on a child's enrollment rather than attendance.

Describe the policy or procedure.

The Lead Agency implemented a temporary emergency change to allow payments based on a child's enrollment. When a parent reports a change in providers, the child is no longer considered enrolled with the first provider and payments will end with that provider. In order to implement this temporary change, reporting a child is no longer attending or has not met the minimum eight hour monthly requirement has been waived. Additionally, the monthly certification requirement for providers has been suspended. This policy supports families and providers during the COVID-19 pandemic. The Lead Agency will determine when to end payments based on enrollment after Utah Executive Order 2020-1 is lifted.

- Providing full payment if a child attends at least 85 percent of the authorized time.

Describe the policy or procedure.

N/A

- Providing full payment if a child is absent for five or fewer days in a month.

Describe the policy or procedure.

N/A

- Use an alternative approach for which the Lead Agency provides a justification in its Plan.

If chosen, please describe the policy or procedure and the Lead Agency's justification for this approach.

The Lead Agency utilizes an alternative approach. A provider may retain the full subsidy payment when a covered child attends the program at least eight hours by the 25th of the month. Providers are required to report to the Lead Agency when less than eight hours of care were provided or the child stops attending. The provider must report those changes through the online provider portal by the 25th of the month, or within 10 days of the change, whichever is sooner. A provider may still be allowed to retain the full subsidy payment if the provider reports on or before the 25th of the month that a child did not attend for at least eight hours but the child returns after the 25th. In order to retain the full payment in that scenario, the child must return to the program and attend for at least eight hours total in the month.

c) The Lead Agency's payment practices reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF subsidies. These payment practices must include the following two practices unless the Lead Agency provides evidence that such practices are not generally accepted in its state (658E(c)(2)(S); 98.45(l)(3)).

i. Paying on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time).

Describe the policy or procedure and include a definition of the time increments (e.g., part time, full-time).

The Lead Agency's payment practices reflect generally accepted practices of child care providers who serve children who do not receive CCDF subsidies. The 2017 Utah Child Care Market Rate Study reflects that Utah has a small percentage of providers who reported having part-time rates. The highest reported part-time rate was in the three-year old age category for licensed center care at 27.6 percent.

Additionally, providers statewide define part-time in various ways based on their business needs. There is not a consistent break between part-time and full-time rates among providers. Collecting and analyzing subsidy data of customer reported need (participation hours) and common breaking points, the Lead Agency has established four increments of care, as follows, (Tier One) 0-64.4 monthly hours, (Tier Two) 64.5-98.8 monthly hours, (Tier Three) 98.9-137.5 monthly hours, (Tier Four) 137.6 monthly hours and up. The Lead Agency considers Tiers One and Two as part-time and Tiers Three and Four as full-time.

ii. Paying for reasonable mandatory registration fees that the provider charges to private-paying parents.

Describe the policy or procedure.

The 2017 Utah Child Care Market Rate Study showed that registration fees are not a generally accepted practice among providers in Utah. Among providers, 63 percent of licensed centers and 66 percent of licensed family providers answered questions regarding registration fees. Of those providers, 70 percent of licensed centers do not charge one-time fees and 79 percent do not charge an annual registration fee. Of the licensed family respondents, 92 percent do not any one-time fees and 97 percent do not charge an annual fee. Based on this evidence, the Lead Agency does not pay for registration fees.

d) The Lead Agency ensures that providers are paid in accordance with a written payment agreement or an authorization for services that includes, at a minimum, information regarding provider payment policies, including rates, schedules, any fees charged to providers, and the dispute-resolution process. Describe:

The Lead Agency developed a Provider Guide for child care providers accepting CCDF child care subsidy payments. The Provider Guide contains information about the

eligibility processes, payment policies, methods of payment, overpayments and the Lead Agency's appeals process. The guide also includes information about provider requirements, which include reporting changes through the Lead Agency's Provider Portal. The Provider Guide contains a resource page with web links to Administrative Rules, income and copayment tables and the monthly rate table. The Provider Guide must be signed by the provider during initial licensing inspections to be eligible to receive CCDF child care subsidy payments. Providers are notified of substantial updates to the provider guide and must agree to the terms and conditions within the month following the announced changes. Future payments may be withheld until the provider complies.

e) The Lead Agency provides prompt notice to providers regarding any changes to the family's eligibility status that could impact payments, and such a notice is sent no later than the day that the Lead Agency becomes aware that such a change will occur.

Describe:

Providers have electronic access to the Lead Agency's Provider Portal <https://jobs.utah.gov/childcare>. The portal interfaces with the eligibility payment system and has immediate updates when case payment information changes. The portal includes a "children in care" screen, which lists all of the families attached to that provider and shows the current month and next month's payments at a glance. This helps providers to quickly identify changes and properly budget for future months. In addition, while protecting the privacy of families, providers may review the child care case details including the case review month, approved coverage hours, co-payment amount and children in care. Additionally, transaction history and other reports may be downloaded. Providers may access the portal at any time to monitor the child care payment status and any changes in the amount of the payment. Providers are instructed to contact the Lead Agency's Provider Helpline if further information is needed.

f) The Lead Agency has a timely appeal and resolution process for payment inaccuracies and disputes. Describe:

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

filed within 30 days of the date of the notice of agency action. The Administrative Law Judge must issue a written decision within 60 days of the date the Lead Agency receives the hearing request.

g) Other. Describe:

N/A

4.5.2 Do payment practices vary across regions, counties, and/or geographic areas?

Effective Date: 10/01/2018

No, the practices do not vary across areas.

Yes, the practices vary across areas.

Describe:

4.6 Supply-Building Strategies to Meet the Needs of Certain Populations

Lead Agencies are required to develop and implement strategies to increase the supply of and to improve the quality of child care services for children in underserved areas; infants and toddlers; children with disabilities, as defined by the Lead Agency; and children who receive care during non-traditional hours (658 E(c)(2)(M); 98.16 (x)).

4.6.1 Lead Agencies must identify shortages in the supply of high-quality child care providers. List the data sources used to identify shortages, and describe the method of tracking progress to support equal access and parental choice.

Effective Date: 10/01/2018

In licensed family child care.

The Lead Agency has identified shortages in the supply of high-quality licensed family child care providers. These shortages exist both geographically and among certain population of children requiring child care. Specifically, the Lead Agency has identified shortages for licensed family child care in rural counties, infant/toddler populations and

children with disabilities. With regard to geographic shortages, the Lead Agency analyzed capacity in each of Utah's 29 counties. There are clear shortages throughout Utah's rural counties. In fact, four rural counties lack any regulated licensed family child care providers.

Additionally, among the population of children between the ages of 0-5 years old, there is licensing capacity to serve only five percent of the children in all of Utah's rural counties. Although this is the case, it is unclear whether the remaining 95 percent of children require child care. Child Care Aware reports that 51 percent of Utah children between the ages of 0-6 years old live in families with a child care need.

In addition to the shortage in rural counties, the Lead Agency has identified shortages among licensed family child care providers serving infants and toddlers. Analyzing the vacancy rates in counties for infants and toddlers reveals several counties that have a vacancy rate of less than 15 percent. The Lead Agency considers a vacancy rate of less than 15 percent of one revealing a supply shortage for the age group.

<https://jobs.utah.gov/occ/EarlyChildhoodServicesStudy.pdf>

Finally, the Lead Agency identified shortages among child care providers caring for children with disabilities. There are currently 232 children with disabilities receiving a child care disability subsidy payment and 814 children with disabilities being cared for in regulated child care programs. Fortunately, there are 224 regulated child care providers with the Special Needs Endorsement and 642 active caregivers that have taken 1,144 classes specific to serving children with special needs. However, on the Lead Agency's 2017 Market Rate Study, many respondents expressed barriers to serving children with special needs, including the physical structure of the buildings in which programs are operating. Those programs are not accessible or equipped to serve children with special needs. Additionally, many providers noted that they do not have the staff capacity to provide the requisite level of care for a child with special needs.

The Lead Agency utilizes several data sources to identify shortages among high quality child care providers, including licensed family child care providers. To identify geographic shortages, the Lead Agency contracts with six Care About Childcare (CAC) Agencies to track the number of licensed and legally license-exempt child care providers located within their designated service delivery area. The CAC Agencies work closely with the

child care and afterschool programs and interact with the Child Care Licensing's database to continuously assess the capacity, enrollment and number of vacancies for all age groups the childcare programs serve. This data is stored and maintained in a statewide database. Child Care programs have the ability to access this database to update their facility information at any time and each update triggers an alert to CAC staff to acknowledge and approve the data updates. Each CAC Agency also engages in outreach activities and offers small incentives to programs to keep their program data current in the database. The reliability of the data allows the Lead Agency and its partners to produce real time reports that describe the number of child care programs, capacity, enrollment, slots and vacancies per age group. Each quarter the CACs compile this data into a comprehensive report. The Lead Agency utilizes this data to identify areas where supply of quality child care may be lacking.

In addition to the CAC database, the Lead Agency utilizes data contained in Utah's Early Childhood Services Study which it released to the Utah Legislature in 2018.

<https://jobs.utah.gov/occ/EarlyChildhoodServicesStudy.pdf>. This report contained an analysis of the child care subsidy program. This data includes the locations of all types of licensed and regulated child care providers throughout the state.

Finally, the Lead Agency uses its administrative data for data related to the subsidy program, its Market Rate Study and its Parent Survey. Each of these additional data sources, analyzed and reviewed by the Lead Agency, allows it to identify provider shortage areas to ensure providers are accessible throughout Utah.

In licensed child care centers.

The Lead Agency has identified shortages in the supply of high-quality licensed child care providers. Similar to the shortages for licensed family providers, shortages for licensed center care exist geographically and among certain population of children requiring child care. Specifically, the Lead Agency has identified shortages for licensed child care in rural counties, infant/toddler populations and children with disabilities. With regard to geographic shortages, the Lead Agency analyzed capacity in each of Utah's 29 counties. There are clear shortages throughout Utah's rural counties. In fact, four rural counties lack any regulated licensed child care providers.

Additionally, among the population of children between the ages of 0-5 years old, there is

licensing capacity to serve only five percent of the children in all of Utah's rural counties. Although this is the case, it is unclear whether the remaining 95 percent of children require child care. Child Care Aware reports that 51 percent of Utah children, between the ages of 0-6 years old live in families with a child care need. In addition to the shortage in rural counties, the Lead Agency has identified shortages among licensed child care providers serving infants and toddlers. Analyzing the vacancy rates in counties for infants and toddlers reveals several counties that have a vacancy rate of less than 15 percent. The Lead Agency considers a vacancy rate of less than 15 percent of one revealing a supply shortage for the age group.

Finally, the Lead Agency identified shortages among licensed child care centers caring for children with disabilities. There are currently 232 children with disabilities receiving a child care disability subsidy payment and 814 children with disabilities being cared for in regulated child care programs. Fortunately, there are 224 regulated child care providers with the Special Needs Endorsement and 642 active caregivers that have taken 1,144 classes specific to serving children with special needs. However, on the Lead Agency's 2017 Market Rate Study, many respondents expressed barriers to serving children with special needs, including the physical structure of the buildings in which programs are operating. Those programs are not accessible or equipped to serve children with special needs. Additionally, many providers noted that they do not have the staff capacity to provide the requisite level of care for a child with special needs.

The Lead Agency utilizes several data sources to identify shortages among high quality child care providers, including licensed family child care providers. To identify geographic shortages, the Lead Agency contracts with six Care About Childcare Agencies to track the number of licensed and legally license-exempt child care providers located within their designated service delivery area. The CAC Agencies work closely with the child care and afterschool programs and interact with the Child Care Licensing's database to continuously assess the capacity, enrollment and number of vacancies for all age groups the childcare programs serve. This data is stored and maintained in a statewide database. Childcare programs have the ability to access this database to update their facility information at any time and each update triggers an alert to CAC staff to acknowledge and approve the data updates. Each CAC Agency also engages in outreach activities and offers small incentives to programs to keep their program data current in the database. The reliability of the data allows the Lead Agency and its

partners to produce real time reports that describe the number of child care programs, capacity, enrollment, slots and vacancies per age group. Each quarter the CACs compile this data into a comprehensive report. The Lead Agency utilizes this data to identify areas where supply of quality child care may be lacking.

In addition to the CAC database, the Lead Agency utilizes data contained in Utah's Early Childhood Services Study which it released to the Utah Legislature in 2018.

<https://jobs.utah.gov/occ/EarlyChildhoodServicesStudy.pdf>. This report contained an analysis of the child care subsidy program. This data includes the locations of all types of licensed and regulated child care providers throughout the state.

Finally, the Lead Agency uses its administrative data for data related to the subsidy program, its Market Rate Study and its Parent Survey. Each of these additional data sources, analyzed and reviewed by the Lead Agency, allows it to identify provider shortage areas to ensure providers are accessible throughout Utah.

Other.

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

Effective Date: 10/01/2018

a) Children in underserved areas. Check and describe all that apply.

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

Grants are provided to family child care providers in rural areas to support them in raising the quality of care they provide. Providers are grouped with other providers in a cohort that is led by a Family Child Care Specialist. Providers receive support through training and reflection in Peer Learning Communities, observation and

feedback, and technical assistance and coaching in their home environment.

[Start-up funding.](#)

[Describe:](#)

The Lead Agency contracts with six CAC agencies, two of which serve the vast majority of Utah's rural counties. Funds have been made available through these two contracts to provide funding for the recruitment, training and licensure of providers in rural areas where data demonstrates there is a lack of providers. The CAC agencies work to recruit individuals that may be currently providing FFN care to become licensed and expand services to other families. For individuals residing in counties where data shows there are a lack of providers, all start-up costs are reimbursed to those that become licensed. In other areas, providers may be reimbursed for up to \$400 of their startup costs.

[Technical assistance support.](#)

[Describe:](#)

Family Child Care Specialists are available in rural counties to provide technical assistance and support to family child care providers. Early Childhood Specialists are available in rural counties to provide technical assistance and support to center based child care programs.

[Recruitment of providers.](#)

[Describe:](#)

Funds are available through all Care About Child Care Agencies for the recruitment, training and licensure of family child care providers. In rural areas where data demonstrates there is a lack of providers, larger incentives are provided. The CAC agencies work to recruit individuals that may be interested in providing child care or currently providing FFN care to become licensed and expand services to other families. Additional support is provided both in human resources as well as financial. The CAC staff work with providers to help them navigate any challenges with licensing and provide funding to pay the required fees in order to become licensed. Additionally, after the provider is licensed and has enrolled additional children, funding for materials and equipment is available.

Tiered payment rates (as discussed in 4.3.2).

Describe:

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Support to improve business practices is available through the family child care networks. Training is provided in business practices and the FCC Specialists assists family providers in implementing what they have learned during training and in discussion at Peer Learning Communities pertaining to business practices.

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

b) Infants and toddlers. Check and describe all that apply.

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

Currently, in order to participate in the family child care networks, a family provider must have infants and toddlers enrolled in their program. Part of the focus of the

project is to assist family providers in increasing the quality of care for children ages birth to 3 and care for all children more effectively in a mixed group setting.

[Start-up funding.](#)

[Describe:](#)

The Lead Agency contracts with six CAC agencies, two of which serve the vast majority of Utah's rural counties. Funds have been made available through these two contracts to provide funding for the recruitment, training and licensure of providers in rural areas where data demonstrates there is a lack of providers. The CAC agencies work to recruit individuals that may be currently providing FFN care to become licensed, and expand services to other families. For individuals residing in counties where data shows there are a lack of providers, all start-up costs are reimbursed to those that get a licensed. In other areas, providers may be reimbursed for up to \$400 of their startup costs. Start up funding is available to family child care providers, including those that wish to care for infants and toddlers.

[Technical assistance support.](#)

[Describe:](#)

Technical assistance and coaching support is available to individuals caring for infants and toddlers in home settings.

[Recruitment of providers.](#)

[Describe:](#)

Funds are available through all Care About Child Care Agencies for the recruitment, training and licensure of family child care providers. In rural areas where data demonstrates there is a lack of providers, larger incentives are provided. The CAC agencies work to recruit individuals that may be interested in providing child care or currently providing FFN care to become licensed and expand services to other families. Additional support is provided both in human resources as well as financial. The CAC staff work with providers to help them navigate any challenges with licensing and provide funding to pay the required fees in order to become licensed. Additionally, after the provider is licensed and has enrolled additional children, funding for materials and equipment is available.

Tiered payment rates (as discussed in 4.3.2) .

Describe:

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

c) Children with disabilities. Check and describe all that apply.

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

Start-up funding.

Describe:

Technical assistance support.

Describe:

Recruitment of providers.

Describe:

Tiered payment rates (as discussed in 4.3.2).

Describe:

Providers caring for a child with a disability are reimbursed at a higher rate in the Lead Agency's subsidy program. Children ages two and older with special needs are subsidized at the infant rate in the provider tier being used. Infants with special needs are subsidized at the infant rate of the next higher provider tier. For example, a five-year old with special needs in a family licensed home setting will be paid at the family licensed home infant rate.

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

d) Children who receive care during non-traditional hours. Check and describe all that apply

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

Start-up funding.

Describe:

Technical assistance support.

Describe:

Recruitment of providers.

Describe:

Tiered payment rates (as discussed in 4.3.2) .

Describe:

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

The Lead Agency has not determined whether there is a shortage of child care providers for children receiving care during non-traditional hours. However, those providers are eligible to receive grants and technical support from the Lead Agency.

4.6.2 Describe what method(s) is used to increase supply and to improve quality for the following.

e) Other. Check and describe all that apply:

Grants and contracts (as discussed in 4.1.3).

Describe:

Family child care networks.

Describe:

Start-up funding.

Describe:

Technical assistance support.

Describe:

Recruitment of providers.

Describe:

Tiered payment rates (as discussed in 4.3.2).

Describe:

Support for improving business practices, such as management training, paid sick leave, and shared services.

Describe:

Accreditation supports.

Describe:

Child Care Health Consultation.

Describe:

Mental Health Consultation.

Describe:

Other.

Describe:

N/A

4.6.3 Lead Agencies must prioritize investments for increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and do not currently have sufficient numbers of such programs.

Effective Date: 10/01/2018

a) How does the Lead Agency define areas with significant concentrations of poverty and unemployment?

The Lead Agency is actively involved in Utah's intergenerational poverty initiative. This initiative is a data-driven and research-based effort to measurably reduce intergenerational poverty among Utah families. A family is living in intergenerational poverty when two or more successive generations of a family continue in the cycle of poverty and government dependence. This is measured by evaluating the adults receiving public assistance for at least twelve months in adulthood and also evaluating whether they received public assistance for at least twelve months as a child. Public assistance include participation in cash assistance programs, public health insurance programs, Supplemental Nutrition Assistance Program or receipt of child care subsidy payments. The data includes analysis of the count and percent of children living in intergenerational poverty throughout Utah and the data is disaggregated by county, zip

and school district. This data allows the Lead Agency to evaluate concentrations of poverty. In addition to evaluating the population of those experiencing intergenerational poverty, the data identifies the rates of year-round employment among these populations.

b) Describe how the Lead Agency prioritizes increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and that do not have high-quality programs. Since the intergenerational poverty initiative began, the Lead Agency has utilized the data to ensure funds to improve the quality of child care programs are prioritized to communities with the high rates of children experiencing intergenerational poverty. It continues to prioritize these communities through releases of grants specific to those communities, as well as prioritize funding to programs in those communities serving high numbers of children covered by child care subsidies. These communities are also among those with the highest rates of either unemployment or sporadic attachment to the labor force.

5 Establish Standards and Monitoring Processes To Ensure the Health and Safety of Child Care Settings

Lead Agencies are required to certify that there are in effect licensing requirements applicable to all child care services in the state/territory, which supports the health and safety of all children in child care. States and territories may allow licensing exemptions. Lead Agencies must describe how such licensing exemptions do not endanger the health, safety, and development of CCDF children in license-exempt care (98.16 (u)).

Lead Agencies also must certify that there are in effect health and safety standards and training requirements applicable to providers serving CCDF children, whether they are licensed or license-exempt. These health and safety requirements must be appropriate to the provider setting and age of the children served, must include specific topics and training on those topics, and are subject to monitoring and enforcement procedures.

The organization of this section begins with a description of the licensing system for providers of

child care in a state or territory and then moves to focus in on CCDF providers who may be licensed, exempt from licensing, or relative providers. The section then covers the health and safety requirements and training, and monitoring and enforcement procedures to ensure that CCDF child care providers comply with licensing and health and safety requirements (98.16(n)). Lead Agencies are also asked to describe any exemptions for relative providers (98.16(l)). This section also addresses group size limits; child-staff ratios; and required qualifications for caregivers, teachers, and directors (98.16(m)) serving CCDF children.

Note: When responding to questions in this section, the OCC recognizes that each State/Territory identifies and defines its own categories of care. The 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.

Criminal background check requirements are included in this section (98.16(o)). It is important to note that these requirements are in effect for all child care staff members that are licensed, regulated or registered under state/territory law and all other providers eligible to deliver CCDF services.

5.1 Licensing Requirements

Each state/territory must certify it has in effect licensing requirements applicable to all child care services provided within the state/territory (not restricted to providers receiving CCDF funds) and provide a detailed description of these requirements and how the requirements are effectively enforced (658E(c)(2)(F)). If any types of providers are exempt from licensing requirements, the state/territory must describe those exemptions and describe how these exemptions do not endanger the health, safety, or development of children. The descriptions must also include any exemptions based on provider category, type, or setting; length of day; and providers not subject to licensing because the number of children served falls below a Lead Agency-defined threshold and any other exemption to licensing requirements (658E(c)(2)(F); 98.16(u); 98.40(a)(2)(iv)).

5.1.1 To certify, describe the licensing requirements applicable to child care services provided within the state/territory by identifying the providers in your state/territory that are subject to licensing using the CCDF categories listed below? Check all that apply and provide a citation to the licensing rule.

Effective Date: 02/25/2020

[Center-based child care.](#)

[Describe and Provide the citation:](#)

A person or persons shall be licensed as a child care center if they provide care: (a) in the absence of the child's parent, (b) in a place other than the provider's home or the child's home, (c) for 5 or more children, (d) for each individual child for less than 24 hours per day, (e) on an ongoing basis for 4 or more weeks in a year, and (f) for direct or indirect compensation. Citation: Child Care Licensing Administrative Rules R381-100-3(1)

A person or persons shall be licensed as an hourly child care center if they provide care: (a) in the absence of the child's parent; (b) in a place other than the provider's home or the child's home; (c) for 5 or more children; (d) when no child is cared for on a regular schedule; (e) for each individual child for less than 24 hours per day; (f) on an ongoing basis for 4 or more weeks in a year; and (g) for direct or indirect compensation. Citation: Child Care Licensing Administrative Rules R381-60-3(1)

A person or persons shall be licensed as an out-of-school-time program if they provide services: (a) in the absence of the child's parent; (b) in a place other than the provider's home or the child's home; (c) for 5 or more qualifying children; (d) for each individual child for less than 24 hours per day; (e) on an ongoing basis, on 3 or more days a week and for 30 or more days in a calendar year; (f) to children who are at least 5 years of age; and (g) for direct or indirect compensation. Citation: Child Care Licensing Administrative Rules R381-70-3(1)

[Family child care.](#)

[Describe and Provide the citation:](#)

A person or persons shall be licensed under this rule if they provide child care: (a) in the home where they reside; (b) in the absence of the child's parent; (c) for 5 or more unrelated children; (d) for 4 or more hours per day; (e) for each individual child for less than 24 hours per day; (f) on a regularly scheduled, ongoing basis; and (g) for direct or indirect compensation. Citation: Child Care Licensing Administrative Rules R430-90-3(1)

A person or persons shall be certified as a residential child care provider under this rule if they provide child care: (a) in the home where they reside; (b) in the absence of the

child's parent; (c) for 5 to 8 unrelated children; (d) for 4 or more hours per day; (e) for each individual child for less than 24 hours per day; (f) on a regularly scheduled, ongoing basis; and (g) for direct or indirect compensation. Citation: Child Care Licensing Administrative Rules R430-50-3(1)

In-home care (care in the child's own home).

Describe and provide the citation (if applicable):

5.1.2 Describe if any providers are exempted from licensing requirements and how such exemptions do not endanger the health, safety, and development of children (658E (c)(2)(F); 98.40(a)(2)).

Effective Date: 04/23/2020

Note: Additional information about exemptions related to CCDF providers is required in 5.1.3.

According to Utah Code §26-39-403, the following facilities are exempt from Child Care Licensing rules:

- A facility or program owned or operated by an agency of the United States government. The health and safety of children for these facilities are not under the lead agency or Child Care Licensing oversight.
- Group counseling provided by a mental health therapist, as defined in Section 58-60-102, who is licensed to practice in this state. The health and safety of children for these facilities are not under the lead agency or Child Care Licensing oversight.
- A health care facility licensed pursuant to Title 26, Chapter 21, Health Care Facility Licensing and Inspection Act. The health and safety of children for these facilities are not under the lead agency or Child Care Licensing oversight.
- Care provided to a qualifying child by or in the home of a parent, legal guardian, grandparent, brother, sister, uncle, or aunt. Unless they apply to be approved as FFN providers, this care does not meet the definition of child care in Utah.
- Care provided to a qualifying child, in the home of the provider, for less than four hours a day or on a sporadic basis, unless that child care directly affects or is related to a business licensed in this state. Unless they apply to be approved as FFN providers, this type of care does not meet the definition of child care in Utah.
- Care provided at a residential support program that is licensed by the Department of Human Services. The health and safety of children for these facilities are not under the lead agency or Child Care Licensing oversight.

The following providers are exempted from licensing requirements, but are required to have the same background checks as any licensed provider. These facilities are required to post a notice to parents and the public explaining that they are exempt, but complaints can be submitted to Child Care Licensing (CCL). These facilities are also required to report to CCL the number of children they care for and their ages:

- Public, Private, Parochial, or Higher Ed Educational Institutions: These are educational institutions that are license-exempt and have child care programs for any children between the ages of zero to 12. This category of care does not endanger the health, safety, and development of children since background screening checks are conducted for all covered individuals and their educational programs receive other Department of Education oversight. CCL would also conduct investigations if there were any complaints related to the health and safety of children in these facilities.

- Child Care Programs Operated on School Property: These are programs on school property that care for any children between the ages of zero and 12. This category of care does not endanger the health, safety, and development of children since background screening checks are conducted for all covered individuals and their educational programs receive other Department of Education oversight. CCL would also conduct investigations if there were any complaints related to the health and safety of children in these facilities.

- Drop-in Child Care: As allowed by Utah statute, this type of child care is exempt from licensing if care is provided to children between the ages of zero and 12 at a facility where:
 1. the parent or guardian of the qualifying child is at all times physically present in the building where the care is provided and the parent or guardian is near enough to reach the child within five minutes if needed;
 2. the duration of the care is less than four hours for an individual qualifying child in any one day;
 3. the care is provided on a sporadic basis;
 4. the care does not include diapering a qualifying child; and
 5. the care does not include preparing or serving meals to a qualifying child.

Background screening checks are conducted by CCL for all covered individuals and CCL conducts complaint investigations against these facilities to make sure the health, safety, and development of children is not endangered.

- FFN (Family, Friend and Neighbor): Care provided in a private home, either the child's

home or the provider's home, by a relative, a friend or a neighbor. This category of care is license-exempt as long as there are no more than four non-related children in care with the provider, and/or care is provided in the children's home and all the children are siblings. This category of care does not endanger the health, safety, and development of children since health and safety inspections are conducted to those homes and the providers are to be in compliance with similar regulations as other licensed providers, including background checks for all covered individuals (everyone 12 years and older who resides, works, or volunteers in the facility, except for the parents of the children in FFN settings, or who has unsupervised access to the children in care).

- In-Home: Care provided in the child's home, by a relative, a friend or a neighbor. This category of care is license-exempt, but in Utah it is also considered FFN. In this case, only the child or children who reside in the home will be eligible for subsidy. This category of care is license-exempt as long as there are no more than four non-related children in care with the provider, and/or care is provided in the children's home and all the children are siblings. This category of care does not endanger the health, safety, and development of children since health and safety inspections are conducted to those homes and the providers are to be in compliance with similar regulations as other licensed providers, including background checks for all covered individuals (everyone 12 years and older who resides, works, or volunteers in the facility, except for the parents of the children in FFN settings, or who has unsupervised access to the children in care).

5.1.3 Check and describe any CCDF providers in your state/territory who are exempt from licensing (98.40(2)(i) through (iv))? Describe exemptions based on length of day, threshold on the number of children in care, ages of children in care or any other factors applicable to the exemption

Effective Date: 10/01/2018

Center-based child care.

If checked, describe the exemptions.

- Public, Private, Parochial, or Higher Ed Educational Institutions: Although they can choose to be licensed, these are license-exempt educational institutions Utah Code exempts. These providers care for children between the ages of zero to 12. These providers can receive CCDF if they adhere to all CCDF requirements, including health and safety inspections, background checks, and training standards. Note, parochial institutions and private, license-exempt programs may receive CCDF through grants but must be licensed to receive child care subsidies.

- Child Care Programs Operated on School Property: Although they can choose to be licensed, these are license-exempt programs Utah Code exempts. These providers care for children between the ages of zero to 12. These providers can receive CCDF if they adhere to all CCDF requirements, including health and safety inspections, background checks, and training standards.

Family child care.

If checked, describe the exemptions.

In-home care.

If checked, describe the exemptions.

FFN (Family, Friend and Neighbor): Care provided in a private home, either the child's home or the provider's home, by a relative, a friend or a neighbor. This category of care is license-exempt as long as there are no more than four non-related children in care with the provider, and/or care is provided in the children's home and all the children are siblings.

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

In-Home: Care provided in the child's home, by a relative, a friend or a neighbor. This category of care is license-exempt, but in Utah this provider type is also considered FFN. In this case, only the child or children who reside in the home will be eligible for subsidy. This category of care is license-exempt as long as there are no more than four non-related children in care with the provider, and/or care is provided in the children's home and all the children are siblings.

In order to be DWS eligible, these providers must adhere to all CCDF requirements. Health and safety inspections are conducted at those homes and the providers are to be in compliance with similar regulations as other licensed providers, including background checks for all covered individuals (everyone 12 years and older who resides, works, or volunteers in the facility, except for the parents of the children in FFN settings, or who has

unsupervised access to the children in care).

5.2 Health and Safety Standards and Requirements for CCDF Providers

5.2.1 Standards on ratios, group sizes, and qualifications for CCDF providers.

Lead Agencies are required to establish child care standards for providers receiving CCDF funds, appropriate to the type of child care setting involved, that address appropriate ratios between the number of children and number of providers in terms of the age of the children, group size limits for specific age populations, and the required qualifications for providers (658E(c)(2)(H); 98.41(d); 98.16(m)). For ease of responding, this section is organized by CCDF categories of care, licensing status, and age categories. Respondents should map their Lead Agency categories of care to the CCDF categories.

Effective Date: 02/25/2020

a) Licensed CCDF center-based care

1. Infant

-- How does the State/territory define infant (age range):

A child who is younger than 12 months of age.

-- Ratio:

1 to 4

-- Group size:

The group size is eight children.

-- Teacher/caregiver qualifications:

All caregivers must be at least 16 years of age, have knowledge of, and comply with all applicable laws and rules. Caregivers 16 or 17 years of age must never be left unsupervised. No education qualifications are required. They are required to have orientation and pre-service training and pass a background check before they are left alone with children. They must complete at least 20 hours of training every

year and cover required child care licensing topics. Half of the training must be face-to-face.

During the COVID-19 crisis, for all teacher/caregiver qualifications and age groups listed in section 5.2.1a, the 20 hours of required training is not required to be face-to-face. Online training may be accepted. This will revert back after Utah Executive Order 2020-1 has been lifted and more face-to-face options become available.

2. Toddler

-- How does the State/territory define toddler (age range):

A child age 12 months through 23 months.

-- Ratio:

1 to 4

-- Group size:

The group size is eight children.

-- Teacher/caregiver qualifications:

All caregivers must be at least 16 years of age and have knowledge of and comply with all applicable laws and rules. Caregivers 16 or 17 years of age must never be left unsupervised. No education qualifications are required. They are required to have orientation and pre-service training and pass a background check before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

3. Preschool

-- How does the State/territory define preschool (age range):

A child age 2 through 4 years old.

-- Ratio:

2-year olds: 1 to 7

3-year olds: 1 to 12

4-years olds: 1 to 15

-- Group size:

2-year olds: 14

3-year olds: 24

4-year olds: 30

-- Teacher/caregiver qualifications:

All caregivers must be at least 16 years of age, have knowledge of, and comply with all applicable laws and rules. Caregivers 16 or 17 years of age must never be left unsupervised. No education qualifications are required. They are required to have orientation and pre-service training and pass a background check before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

4. School-age

-- How does the State/territory define school-age (age range):

A child age 5 through 12 years old.

-- Ratio:

1 to 20

-- Group size:

The group size is 40 children.

-- Teacher/caregiver qualifications:

All caregivers must be at least 16 years of age, have knowledge of, and comply with all applicable laws and rules. Caregivers 16 or 17 years of age must never be left unsupervised. No education qualifications are required. They are required to have orientation and pre-service training and pass a background check before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be

face-to-face.

5. If any of the responses above are different for exempt child care centers, describe which requirements apply to exempt centers

N/A

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

Mixed age groups shall meet the ratios and group sizes specified in tables 3-13 of rule R381-100-10(2) found at childcarelicensing.utah.gov/rules. Infants and toddlers may be included in mixed age groups only when eight or fewer children are present in the group. If more than two infants or toddlers are included in a mixed age group, there shall be at least two caregivers with the group.

7. Describe the director qualifications for licensed CCDF center-based care, including any variations based on the ages of children in care.

The director shall: (a) be at least 21 years of age; (b) pass a CCL background screening; (c) receive at least 2.5 hours of pre-service training before beginning job duties; (d) complete the new director training offered by the Department within 60 working days of assuming director duties; (e) have knowledge of and follow all applicable laws and rules; and (f) complete at least 20 hours of child care training each year, based on the facility's license date.

New directors shall have one of the following educational credentials: (a) any bachelor's or higher education degree, and at least 60 clock hours of approved Utah Early Childhood Career Ladder courses in child development, social/emotional development, and the child care environment; or 60 clock hours of equivalent training as approved by the Department; (b) at least 12 college credit hours of child development courses; (c) a currently valid national certification such as a Certified Childcare Professional (CCP) issued by the National Child Care Association, a Child Development Associate (CDA) issued by the Council for Early Childhood Professional Recognition, or other equivalent credential as approved by the Department; (d) at least a Level 9 from the Utah Early Childhood Career Ladder system; or (e) a National Administrator Credential (NAC) and at least 60 clock hours of approved Utah Early Childhood Career Ladder courses in child development, social/emotional

development, and the child care environment; or 60 clock hours of equivalent training as approved by the Department.

b) Licensed CCDF family child care provider

1. Infant

-- How does the State/territory define infant (age range):

A child who is younger than 12 months of age.

-- Ratio:

1 to 2

-- Group size:

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

-- Teacher/caregiver qualifications:

All caregivers must be at least 16 years of age, have knowledge of, and comply with all applicable laws and rules. Caregivers 16 or 17 years of age must never be left unsupervised. No education qualifications are required. They are required to have orientation and pre-service training and pass a background check before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

During the COVID-19 crisis, for all teacher/caregiver qualifications and age groups listed in section 5.2.1b, the 20 hours of required training is not required to be face-to-face. Online training may be accepted. This will revert back after Utah Executive Order 2020-1 has been lifted and more face-to-face options become available.

2. Toddler

-- How does the State/territory define toddler (age range):

A child age 12 months through 23 months.

-- Ratio:

1 to 2

-- Group size:

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

-- Teacher/caregiver qualifications:

All caregivers must be at least 16 years of age, have knowledge of, and comply with all applicable laws and rules. Caregivers 16 or 17 years of age must never be left unsupervised. No education qualifications are required. They are required to have orientation and pre-service training and pass a background check before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

3. Preschool

-- How does the State/territory define preschool (age range):

A child age two through four years old.

-- Ratio:

1 to 8

-- Group size:

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

-- Teacher/caregiver qualifications:

All caregivers must be at least 16 years of age, have knowledge of, and comply with all applicable laws and rules. Caregivers 16 or 17 years of age must never be left unsupervised. No education qualifications are required. They are required to

have orientation and pre-service training and pass a background check before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

4. School-age

-- How does the State/territory define school-age (age range):

A child age five through 12 years old.

-- Ratio:

1 to 8

-- Group size:

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

-- Teacher/caregiver qualifications:

All caregivers must be at least 16 years of age, have knowledge of, and comply with all applicable laws and rules. Caregivers 16 or 17 years of age must never be left unsupervised. No education qualifications are required. They are required to have orientation and pre-service training and pass a background check before they are left alone with children. They must complete at least 20 hours of training every year and cover required child care licensing topics. Half of the training must be face-to-face.

5. If any of the responses above are different for exempt family child care homes, please describe which requirements apply to exempt homes

In the instance of the Family, Friend and Neighbor (FFN) providers, a category of license exempt home providers, providers are not allowed to care for more than four non-related children or more than eight related children. Where the related children are siblings, there is no limit on the number of children, for which care can be provided. Caregivers must be at least 18 years old.

c) In-home CCDF providers:

1. Describe the ratios

1 to 8

2. Describe the group size

1 to 12 including the provider's own children through age 12 years old.

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

Twelve children with one caregiver, including the provider's own children through age 12 years old.

Twenty-four children with two caregivers, including the provider's own children through age 12 years old.

4. Describe if the state/territory requires related children to be included in the child-to-provider ratio or group size

Provider's own children ages 0-4 are included in the child-to-provider ratio. Provider's own children ages 0-12 are included in the group size.

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

Only two infants with one caregiver and four infants with two caregivers, or three with one caregiver if the total children present is no more than six.

5.2 Health and Safety Standards and Requirements for CCDF Providers

5.2.2 Health and safety standards for CCDF providers.

States and territories must establish health and safety standards for programs (e.g., child care centers, family child care homes, etc.) serving children receiving CCDF assistance relating to the topics listed below, as appropriate to the provider setting and age of the children served

(98.41(a)). This requirement is applicable to all child care providers receiving CCDF funds regardless of licensing status (i.e., licensed or license-exempt). The only exception to this requirement is for providers who are caring for their own relatives because Lead Agencies have the option of exempting relatives from some or all CCDF health and safety requirements (98.42(c)).

a) To certify, describe how the following health and safety standards for programs serving children receiving CCDF assistance are defined and established on the required topics (98.16(l)). Note: This question is different from the health and safety training requirements, which are addressed in question 5.2.3.

Effective Date: 02/25/2020

1. Prevention and control of infectious diseases (including immunization)

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Prevention and control of infectious diseases is covered in section 15 of Child Care Licensing Administrative Rules. This section includes standards and practices that address cleaning and sanitary maintenance of the building, materials, furniture, and toys; proper hand washing for children, caregivers, and volunteers; proper storage of personal hygiene items; handling and proper cleaning of bodily fluids; care of wet and soiled clothing; caring for children who sick or become sick after arriving at the facility; and parent notification of infection diseases. Immunization requirements are covered in section 6 of the Child Care Licensing Administrative Rules. This includes the requirements for current immunizations, exemptions, and reporting requirements.

-- List all citations for these requirements, including those for licensed and license-exempt programs

The citations are found in the Child Care Licensing Administrative Rules as follows: Health and Infection Control: R381-100-15, R381-70-15, R381-60-15, R430-90-15, and R430-50-15. For Administration and Children's Records (Immunizations): R381-100-6

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this requirement.

2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Child Care Licensing rules require child care providers to receive pre-service and ongoing annual training that includes prevention of sudden infant death syndrome and the use of safesleep practices. This topic is defined as the understanding, ability, and practices the caregiver must have in place to help prevent infant death syndrome. This includes:

- Age appropriate sleeping practices. Infants must be allowed to sleep in their own schedule.
- Active supervision. Infants must be constantly checked while they are sleeping. For centers, caregivers are required to always be present and be able to see and access the sleeping infant. For homes, the caregiver must be either in the same room where the sleeping infant is, or to visually check on the sleeping infant at least every 15 minutes.
- Adequate ratios. The ratios for infants must be followed at all times.
- Safe-sleeping measures. Infants must be placed on their backs to sleep. No additional blankets or items must be placed in their cribs while they are asleep. No cords are allowed around sleeping infants.
- Safe sleeping equipment. Infants must be placed to sleep in appropriate infant sleeping equipment. If an infant falls asleep on the floor, in a car seat, or in any other non-appropriate sleeping place or equipment, the infant must be moved to safe sleeping equipment.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Personnel Training: Child Care Licensing Administrative Rules R381-100-7(19) and (21), R381-100-11(4), R381-100-24(11), (17), and (18). These same rules apply to

other facility types that care for infants.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this requirement.

3. Administration of medication, consistent with standards for parental consent

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

This topic is defined as the understanding, ability, and practices the caregiver must have in place to administer medications to children. This includes:

- Getting to know any special needs or medical conditions children under their care may have.
- Making medications inaccessible to children, including medications stored in the refrigerator.
- Verifying information in the medicine container to make sure the medication is in the original container, it is given to the correct child, and that the child receives the right dosage according to the child's age.
- Washing of hands before and after administering medications.
- Writing any information pertaining to the administration of the medication, including the times the medicine was administered, any reactions, and any other concerns or events.
- Following instructions given by the parents and communicating to parents about any errors in administering the medications.
- Getting the required parental permissions and written releases before administering any medications.

The intent of these rules is to help providers avoid harm to children caused by an error

in administering medication, and to prevent children from accessing and ingesting a medication without adult supervision.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Medications: Child Care Licensing Administrative Rules R381-100-17, R381-70-17, R381-60-17, R430-90-17, R430-50-17.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this requirement.

4. Prevention of and response to emergencies due to food and allergic reactions

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

To help prevent emergencies due to allergic reactions, the provider is required by rule to establish a health and safety plan that among others includes this topic. They are required to make sure their employees read and follow the plan. The rules also require an admission and health assessment form for each child that includes allergies information about the child. As part of their pre-service training, child caregivers are required to be introduced to the children they will be working with and made aware of any medical conditions including allergies. Those who serve food are also required by rule to be aware of any allergies those children they serve food to may have. In case of an emergency due to an allergic reaction, providers are to make sure there is always an individual who is CPR and infant first aid certified present with the children. Caregivers are to administer, when applicable, any approved medication such as a EpiPen, they are to contact emergency personnel and follow their instructions, and also contact the child's parents. The provider is also required to submit to Child Care

Licensing a written report no longer than 5 days after the emergency occurs.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-6(9) and (11), R381-70-6(9) and (11), R381-60-6(9) and (11), R430-90-6(8) and (10), R430-50-6(8) and (10). R381-100-14, R381-70-14, R381-60-14, R430-90-14, R430-50-14.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this requirement

5. Building and physical premises safety, including the identification of and protection from hazards that can cause bodily injury, such as electrical hazards, bodies of water, and vehicular traffic

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Section 13 of the Child Care Licensing Administrative Rules covers identification and protection from hazards that can cause bodily injury, such as electrical hazards, bodies of water, items and substances that can burn or start a fire, chemicals, weapons, alcohol, illegal substances, and more. Section 9 also addresses fences needed to protect children from bodies of water such as swimming and wading pools and to protect them from vehicular traffic. Providers and caregivers must be trained to recognize hazards, to make those hazards inaccessible to children, and to follow safe practices to prevent children from accessing those hazards. This includes building and all child care areas being well maintained, and making all potential hazards inaccessible.

Approved locking equipment includes:

- Devices specifically manufactured as child safety products and/or fastening devices.
- Locks that use a key or combination to unlock them.
- Locks that use a coin or allen wrench except when used to lock firearms.
- Locks that do not use a key or combination, such as a deadbolt or hook-and-eye latch, when they are installed at least 60 inches high.
- Properly secured homemade or manufactured child safety gates that are at least 24 inches high from the floor to the top of the gate. The gap between the floor and the bottom of the gate cannot exceed 5 by 5 inches. Center Child Care Rule Interpretation Manual 04/2019 Section 2 - Definitions Page 4 of 8.

To be considered locked and therefore inaccessible:

- A room, area, cabinet, or item is locked or secured with an approved locking device. If a key or combination lock is used, the key hole or combination pad must be on the side child care is taking place.
- A key or other device used to open the lock is not in the lock.
- A safety gate is secured and latched even when bumped or shaken.
- All doors that access the same area, cupboard, closet, or cabinet are locked.

To be considered out of reach of children and therefore inaccessible:

- Items are at least 36 inches above the floor(48 inches for school age programs), ground, or a surface meant for standing or sitting.
- Items are on counters or shelves and/or in cupboards or drawers that are at least 36 inches high.
- Items are at least 36 inches above the surface on which any child sleeps.
- In bathrooms, items are at least 36 inches above any fixture, furniture, or equipment on which a child could stand or climb, such as a toilet, bathtub, counter, cart, chair, stepstool, or ladder. Measurements will be taken with a wood or metal measuring tool and with a laser tool to measure for capacity. A half-inch allowance will be given when measuring the heights of surfaces for inaccessibility and the size of a use zone to address variations in ground level.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-9 and 13, R381-70-9 and 13, R381-60-9 and 13, R430-90-9 and 13, R430-50-9 and 13.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Residential certificate providers are not required to have an outdoor area. If they do, all the fencing rules apply. FFN providers must have a method to make sure children

are protected from bodies of water and vehicular traffic.

-- Describe any variations based on the age of the children in care

For children younger than 3 years old, choking hazards must be inaccessible.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this requirement.

6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

This topic is defined as the understanding, ability, and practices the caregiver must have in place to prevent shaken baby syndrome, abusive head trauma, and child maltreatment. This includes making sure that no child is subjected to physical abuse while in care. Additionally, the provider must have in place behavioral expectations and clearly communicate those expectations to caregivers and parents. All adults in Utah are also mandated to report any child abuse or neglect to the authorities. This topic also includes:

- Making sure interactions with children use positive reinforcement, redirection, and clear limits, and promote children's ability to become self-discipline.
- The use of gentle, passive restraint with children only when it is needed to stop children from injuring themselves or others, or from destroying property.
- Interactions with the children shall not include: (a) any form of corporal punishment or any action that produces physical pain or discomfort such as hitting, spanking, shaking, biting, or pinching; (b) restraining a child's movement by binding, tying, or any other form of restraint that exceeds gentle, passive restraint; (c) shouting at children; (d) any form of emotional abuse; (e) forcing or withholding food, rest, or toileting; or (f) confining a child in a closet, locked room, or other enclosure such as a box, cupboard, or cage.

Child Care Licensing Administrative Rules require child care providers to receive pre-service and ongoing annual training that includes prevention of shaken baby syndrome, abusive head trauma, and child guidance and interaction. In addition, there are rules about proper guidance and interaction for all ages.

All CCDF providers and staff are required to complete pre-service and annual training on prevention of shaken baby syndrome, abusive head trauma, and child maltreatment. A license, a certificate, or an exempt approval is not given until pre-service is verified by Child Care Licensing. Child Care Licensing also conducts annual inspections to verify required training topics and hours. Training must be completed before the expiration of the current license, certificate, or approval in order to renew. Training on these topics is provided both by Child Care Licensing and the local Care About Childcare agencies. Providers and staff can also seek training from other sources.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Personnel Training: Child Care Licensing Administrative Rules R381-100-7(19) and (21) and R381-100-12. These same rules apply to other facility types.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this requirement.

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a)(1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1)). Emergency preparedness and response planning (at the child care provider level) must also include procedures for evacuation; relocation; shelter-in-place and lockdown; staff and volunteer training and practice drills; communications and reunification with families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions.

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

This topic is defined as the understanding, ability, and practices the caregiver must have in place to prevent, prepare for, and respond to emergencies resulting from a natural disaster or a human-caused event (such as violence at a child care facility).

This includes:

- Posting the center's street address and emergency numbers, including ambulance, fire, police, and poison control, near each telephone in the center or in an area clearly visible to anyone needing the information.
- Keeping first-aid supplies in the center, including at least antiseptic, bandages and tweezers.
- Conducting fire evacuation drills monthly. Drills shall include a complete exit of all children, staff, and volunteers from the building.
- Documenting each fire drill, including: (a) the date and time of the drill, (b) the number of children participating, (c) the name of the person supervising the drill, (d) the total time to complete the evacuation, and (e) any problems encountered.
- Conducting drills for disasters other than fires at least once every 6 months.
- Documenting each disaster drill, including: (a) the type of disaster, such as earthquake, flood, prolonged power or water outage, or tornado; (b) the date and time of the drill; (c) the number of children participating; (d) the name of the person supervising the drill; and (e) any problems encountered.
- Varying the days and times on which fire and other disaster drills are held.
- Documenting the previous 12 months of fire and disaster drills on-site for review by the Department.
- Giving parents a written report of every incident, accident, or injury involving their child: (a) the caregivers involved, the center director, and the person picking up the child shall sign the report on the day of occurrence; and (b) if school-age children sign themselves out of the center, a copy of the report shall be sent to the parent on the day following the occurrence.
- Having a health and safety plan that is included in the preservice and training for employees and available to parents. Child care providers in Utah must use a form created by licensing called "Health and Safety Plan." This form can be found at <https://childcarelicensing.utah.gov/forms/All/Health%20and%20Safety%20Plan.pdf>. The Health and Safety plan must be reviewed as part of the caregiver pre-service and ongoing training. The Health and Safety Plan includes topics that address emergency

preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event, relocation, caring for children with special needs, and reunification.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(3), (7) and (9)-(11), R381-70-7(3), (7) and (9)-(11), R381-60-7(3), (6) and (9)-(11), R430-90-7(3)-(5), R430-50-7(3)-(5), R381-100-14, R381-70-14, R381-60-14, R430-90-14, R430-50-14.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this requirement.

8. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Child Care Licensing Administrative Rules require providers to properly store and handle chemicals and other hazardous materials. Item 26 in the required health and safety plan asks the provider to address the disposal of hazardous materials.

Providers and caregivers must be trained to recognize hazards, to make those hazards inaccessible to children, and to follow safe practices to prevent children from accessing those hazards. In addition, toxic or hazardous chemicals such as cleaners, insecticides, lawn products, and flammable materials shall be: (a) inaccessible to children, (b) used according to manufacturer instructions, and (c) stored in containers labeled with their contents.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-13(9). The same rule applies to all other facility types.

<https://childcarelicensing.utah.gov/forms/All/Health%20and%20Safety%20Plan.pdf>

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this requirement.

9. Precautions in transporting children (if applicable)

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

This topic is defined as the understanding, ability, and practices the caregiver must have in place to make sure transportation of children is safe. Section 20 of the Child Care Licensing Administrative Rules addresses transportation. The rules and information in this section apply when a provider walks, transports, and/or uses public transportation to accompany a child in care from one place to another.

It also includes:

- For each child being transported, having a transportation permission form: (a) signed by the parent, and (b) on-site for review by the Department.
- Each vehicle used for transporting children shall: (a) be enclosed with a roof or top, (b) be equipped with safety restraints, (c) have a current vehicle registration, (d) be maintained in a safe and clean condition, and (e) contain a first aid kit.
- The safety restraints in each vehicle that transports children shall: (a) be appropriate for the age and size of each child who is transported, as required by Utah law; (b) be properly installed; and (c) be in safe condition and working order.
- The driver of each vehicle who is transporting children shall: (a) be at least 18 years

old; (b) have and carry with them a current, valid driver's license for the type of vehicle being driven; (c) have with them the written emergency contact information for each child being transported; (d) ensure that each child being transported is in an individual safety restraint that is used according to Utah law; (e) ensure that the inside vehicle temperature is between 60-85 degrees Fahrenheit; (f) never leave a child in the vehicle unattended by an adult; (g) ensure that children stay seated while the vehicle is moving; (h) never leave the keys in the ignition when not in the driver's seat; and (I) ensure that the vehicle is locked during transport.

- When the provider walks or uses public transportation to transport children to or from the facility, the provider shall ensure that: (a) each child being transported has a completed transportation permission form signed by their parent, (b) a caregiver goes with the children and actively supervises them, (c) the caregiver-to-child ratio is maintained, and (d) caregivers take each child's written emergency contact information and releases with them.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-20. The same rule applies to all other facility types.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

This rule does not apply to exempt providers.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

This rule does not apply to relative care.

10. Pediatric first aid and cardiopulmonary resuscitation (CPR) certification

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

Providers are required by rule to make sure there is always a person present at the

facility, during transportation, and during offsite activities who has current pediatric first aid and CPR certifications. All caregivers are required to be trained in this topic, but only one person present at the facility, during transportation, and during offsite activities is required to be certified. This requirement applies to all CCDF providers.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(26). The same rule applies to all facility types.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this rule.

11. Recognition and reporting of child abuse and neglect

-- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

This topic is defined as the understanding, ability, and practices the provider must have in place to make sure caregivers recognize and report child abuse and neglect. This includes making sure that no child is subjected to physical abuse while in care.

Additionally, the provider must have in place behavioral expectations and clearly communicate those expectations to caregivers and parents. All adults in Utah are also mandated to report any child abuse or neglect to the authorities. Child Care Licensing requires pre-service and ongoing training of all child care providers including section 12 of the rules that refer to child guidance and interaction. This section of the rules addresses proper interactions with the children, interactions that are not allowed, and reporting abuse and neglect laws and requirements.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-12. The same rule applies to all facility types.

-- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care

There are no variations.

-- Describe if relatives are exempt from this requirement

Relatives are not exempt from this rule.

b) Does the Lead Agency include any of the following optional standards?

No, if no, skip to 5.2.3.

Yes, if yes provide the information related to the optional standards addressed.

1. Nutrition

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

This topic is defined as the understanding, ability, and practices the provider must have in place to make sure caregivers provide nourishing food to the children each day. Section 16 of the rules address food and nutrition requirements and practices. These rules address time of feeding, approved menus, food allergies, and proper handling of foods. Additionally:

- The provider shall ensure that each child age 2 years and older is offered a meal or snack at least once every 3 hours.

- When food for children's meals and/or snacks is supplied by the provider:

(a) the meal service shall meet local health department food service regulations;

(b) the foods that are served shall meet the nutritional requirements of the USDA Child

and Adult Care Food Program (CACFP) whether or not the provider participates in the CACFP;

(c) the provider shall use the CACFP menus, the standard Department-approved menus, or menus approved by a registered dietician. Dietitian approval shall be noted and dated on the menus, and shall be current within the past 5 years;

(d) the current week's menu shall be posted for review by parents and the Department; and

(e) providers who are not participating or not in good standing with the CACFP shall keep a six-week record of foods served at each meal and snack.

- The person who serves food to children shall: (a) be aware of the children in their assigned group who have food allergies or sensitivities, and (b) ensure that the children are not served the food or drink they are allergic or sensitive to.

- Children's food shall be served on dishes, napkins, or sanitary highchair trays, except an individual finger food, such as a cracker, that may be placed directly in a child's hand. Food shall not be placed on a bare table.

- Food and drink brought in by parents for their child's use shall be:

(a) labeled with the child's name,

(b) refrigerated if needed, and

(c) consumed only by that child.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-16. The same rule applies to all facility types.

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care.

There are no variations.

--Describe if relatives are exempt from this requirement

Relatives are not exempt from this rule.

2. Access to physical activity

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

This topic is defined as the understanding, ability, and practices the provider must have in place to make sure caregivers provide daily activities that support each child's healthy physical, social, emotional, cognitive, and language development. Section 18 of the Child Care Licensing Administrative Rules addresses activities. These rules address offering opportunities for daily activities to support healthy physical, social, emotional, cognitive, and language development of the children. This rule also addresses schedules and screen time. This also includes:

- Daily activities shall include outdoor play as weather and air quality allow.
- Physical development activities shall include light, moderate, and vigorous physical activity for a daily total of at least 15 minutes for every 2 hours children spend in the program.
- For each preschool and school-age group, the provider shall post a daily schedule that includes:
 - (a) activities that support children's healthy development, and
 - (b) the times activities occur including at least meal, snack, nap or rest, and outdoor play times.
- Toys, materials, and equipment needed to support children's healthy development shall be available to the children.
- Except for occasional special events, children's screen time on media such as television, cell phones, tablets, and computers shall:
 - (a) not be allowed for children 0 to 17 months old;
 - (b) be limited for children 18 months to 4 years old to 1 hour per day, or 5 hours per week with a maximum screen time of 2 hours per activity; and
 - (c) be part of a media plan that addresses the needs of children 5 to 12 years old.
- If swimming activities are offered or if wading pools are used:
 - (a) the provider shall obtain parental permission before each child in care uses the pool;
 - (b) caregivers shall stay at the pool supervising whenever a child is in the pool or has access to the pool, and whenever a wading pool has water in it;
 - (c) diapered children shall wear swim diapers whenever they are in the pool;
 - (d) wading pools shall be emptied and sanitized after use by each group of children;

(e) if the pool is over 4 feet deep, there shall be a lifeguard on duty who is certified by the Red Cross or other approved certification program any time children have access to the pool; and

(f) lifeguards and pool personnel shall not count toward the caregiver-to-child ratio.

- If offsite activities are offered:

(a) the provider shall obtain written parental consent before each activity;

(b) the required caregiver-to-child ratio and supervision shall be maintained during the entire activity;

(c) a first aid kit shall be available;

(d) children shall wear or carry with them the name and phone number of the center;

(e) children's names shall not be used on nametags, t-shirts, or in other visible ways; and

(f) there shall be a way for caregivers and children to wash their hands with soap and water, or if there is no source of running water, caregivers and children shall clean their hands with wet wipes and hand sanitizer.

- On every offsite activity, caregivers shall take the written emergency information and releases for each child in the group. The information shall include:

(a) the child's name,

(b) the parent's name and phone number,

(c) the name and phone number of a person to notify in case of an emergency if the parent cannot be contacted,

(d) the names of people authorized by the parents to pick up the child, and

(e) current emergency medical treatment and emergency medical transportation releases.

-- List all citations for these requirements, including those for licensed and license-exempt providers

Child Care Licensing Administrative Rules. R381-100-18. The same rule applies to all facility types.

-Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

There are no variations.

-- Describe any variations based on the age of the children in care.

There are no variations.

--Describe if relatives are exempt from this requirement

Relatives are exempt from this rule.

3. Caring for children with special needs

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

N/A

-- List all citations for these requirements, including those for licensed and license-exempt providers

N/A

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care.

N/A

--Describe if relatives are exempt from this requirement

N/A

4. Any other areas determined necessary to promote child development or to protect children's health and safety (98.44(b)(1)(iii)).

Describe:

N/A

--Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.)

N/A

-- List all citations for these requirements, including those for licensed and license-exempt providers

N/A

--Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

N/A

-- Describe any variations based on the age of the children in care.

N/A

--Describe if relatives are exempt from this requirement

N/A

5.2.3 Health and safety training for CCDF providers on required topics.

Lead Agencies are required to have minimum pre-service or orientation training requirements (to be completed within 3 months), as appropriate to the provider setting and the age of children served, that address the health and safety topics described in 5.2.2, and child development. Lead Agencies must also have ongoing training requirements on the health and safety topics for caregivers, teachers, and directors of children receiving CCDF funds (658E(c)(2)(I)(i); 98.44(b)(1)(iii)). The state/territory must describe its requirements for pre-service or orientation training and ongoing training. These trainings should be part of a broader systematic approach and progression of professional development (as described in section 6) within a state/territory. Lead Agencies have flexibility in determining the number of training hours to require, but they may consult with Caring for our Children Basics for best practices and the recommended time needed to address these training requirements.

Effective Date: 02/25/2020

Pre-Service or Orientation Training Requirements

a) Provide the minimum number of pre-service or orientation training hours on health and safety topics for caregivers, teachers, and directors required for the following:

1. Licensed child care centers:

2.5 hours for all covered individuals.

2. Licensed FCC homes:

2.5 hours for all covered individuals.

3. In-home care:

NA

4. Variations for exempt provider settings:

No variations.

b) Provide the length of time that providers have to complete trainings subsequent to being hired (must be 3 months or fewer)

No later than 10 days after being hired.

c) Explain any differences in pre-service or orientation training requirements based on the ages of the children served

There are no differences in pre-service training requirements based on the ages of the children served. All CCDF providers and staff must receive pre-service training that includes all required topics. Child Care Licensing Administrative Rules R381-100-7(19). License Exempt Approval Requirements, Health and Safety Regulations 1.h.

d) Describe how the training is offered, including any variations in delivery (e.g. across standards, in rural areas, etc.) Note: There is no federal requirement on how a training must be delivered

CAC agencies offer a large variety of face-to-face training classes and topics in their different locations throughout the state. They also offer self-training materials. Child Care Licensing offers free rule training delivered face-to-face or via the internet. To make training also available in rural areas, Child Care Licensing trainers travels to offer training in the different areas of the state.

Pre-service training is offered online for Emergency Child Care (ECC) facilities operating during the COVID-19 health crisis. All mandatory training topics are required to be completed prior to the ECC being licensed or a caregiver beginning employment. Two

15-minute training courses have been developed to ensure providers and caregivers receive the required pre-service training. These pre-service trainings have been put in place temporarily to support ECC's in assembling quickly during this health emergency. This will discontinue when it is determined the ECC's are no longer necessary. The pre-service requirements for other provider types have not changed.

e) Identify below the pre-service or orientation training requirements for each topic (98.41(a)(1)(i through xi)).

1. Prevention and control of infectious diseases (including immunizations)

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b) for center types. R430-90-4(1)(g), R430-90-7(13)(b) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(f) for center types. R430-90-4(1)(g), R430-90-7(13)(f) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 3. Administration of medication, consistent with standards for parental consent

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b) for center types. R430-90-4(1)(g), R430-90-7(13)(b) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings

and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 4. Prevention and response to emergencies due to food and allergic reactions

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b)(h)(i) for center types. R430-90-4(1)(g), R430-90-7(13)(b)(h)(i) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 5. Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b) for center types. R430-90-4(1)(g), R430-90-7(13)(b) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(e) for center types. R430-90-4(1)(g), R430-90-7(13)(e) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b)(c) for center types. R430-90-4(1)(g), R430-90-7(13)(b)(c) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 8. Handling and storage of hazardous materials and the appropriate disposal of bio contaminants

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b) and (c) for center types. R430-90-4(1)(g), R430-90-7(13)(b) and (c) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before

caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 9. Appropriate precautions in transporting children (if applicable)

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b) for center types. R430-90-4(1)(g), R430-90-7(13)(b) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types unless the provider does not transport children. Only relatives who are caregivers are required to comply.

5.2.3e 10. Pediatric first aid and CPR certification

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b) for center types. R430-90-4(1)(g), R430-90-7(13)(b) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

The hands-on training requirements referenced in the citations above have been temporarily waived during the COVID-19 crisis. Pediatric first aid and CPR certification must be completed online while social distancing requirements are in place under Utah Executive Order 2020-1.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 11. Recognition and reporting of child abuse and neglect

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b)(d) for center types. R430-90-4(1)(g), R430-90-7(13)(b)(d) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 12. Child development (98.44(b)(1)(iii))

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-4(1)(h), R381-100-7(3)(c), R381-100-7(19)(b) for center types. R430-90-4(1)(g), R430-90-7(13)(b) for home types. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types." See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care

for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

5.2.3e 13.

Describe other training requirements, such as nutrition, physical activities, caring for children with special needs, etc..

All caregivers are required to be trained on sections 7-24 of the CCL Rules. They are also required to be trained on the following topics: job description and duties, the facility's approved health and safety plan that includes preparing for and responding to emergencies, a review of the information in each child's health assessment, and an introduction and orientation to the children in care.

Section 16 of the Child Care Licensing Administrative Rules address food and nutrition requirements and practices. These rules address time of feeding, approved menus, food allergies, and proper handling of foods.

Section 18 of the Child Care Licensing Administrative Rules addresses activities. These rules address offering opportunities for daily activities to support healthy physical, social, emotional, cognitive, and language development of the children. This rule also addresses schedules and screen time.

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R380-100-7(19), R380-60-7(19), R380-70-7(19), R430-90-7(13), R430-50-7(13). Child Care Licensing Administrative

Rules R381-100-16. The same rule applies to all facility types. Child Care Licensing Administrative Rules R381-100-18. Child Care Licensing protocol titled "License Exempt Approval Requirements, Health and Safety Regulations for license-exempt types."

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

Yes

No

Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

Yes

No

Describe if relatives are exempt from this requirement

This training topic requirement applies to all provider types. Only relatives who are caregivers are required to comply.

Ongoing Training Requirements

5.2.4 Provide the minimum number of annual training hours on health and safety topics for caregivers, teachers, and directors required for the following.

Effective Date: 02/25/2020

a) Licensed child care centers:

20 hours for licensed centers and 10 hours for licensed afterschool programs and hourly centers.

b) Licensed FCC homes:

20 hours for licensed, 10 hours for residential certificate.

c) In-home care:

Five hours for FFN.

d) Variations for exempt provider settings:

There are no other variations.

5.2.5 Describe the ongoing health and safety training for CCDF providers by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

Effective Date: 10/01/2018

1. Prevention and control of infectious diseases (including immunizations)

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a) for center types. Child Care Licensing Administrative Rules R430-90-7(15)(a) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a)(g) for center types.

Child Care Licensing Rules R430-90-7(15)(a)(g) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

3. Administration of medication, consistent with standards for parental consent

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a) for center types. Child

Care Licensing Administrative Rules R430-90-7(15)(a) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

4. Prevention and response to emergencies due to food and allergic reactions

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a) for center types. Child Care Licensing Administrative Rules R430-90-7(15)(a) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

5. Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a) for center types. Child Care Licensing Administrative Rules R430-90-7(15)(a) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a)(f) for center types. Child Care Licensing Administrative Rules R430-90-7(15)(a)(f) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a)(b) for center types.

Child Care Licensing Administrative Rules R430-90-7(15)(a)(b) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

8. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a)(b) for center types.

Child Care Licensing Administrative Rules R430-90-7(15)(a)(b) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by

caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

9. Appropriate precautions in transporting children (if applicable)

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a) for center types. Child Care Licensing Administrative Rules R430-90-7(15)(a) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

10. Pediatric first aid and CPR certification

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a) for center types. Child Care Licensing Administrative Rules R430-90-7(15)(a) for home types.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

11. Recognition and reporting of child abuse and neglect

-- Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a) and (c) for center types.

Child Care Licensing Administrative Rules R430-90-7(15)(a) and (c) for home types.

Utah Code §62A-4a-403, 411.

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

-- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

12. Child development (98.44(b)(1)(iii))

Provide the citation for this training requirement, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R381-100-7(21)(a) and (d) for center types.

Child Care Licensing Administrative Rules R430-90-7(15)(a) and (d) for home types.

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

13. Describe other requirements such as nutrition, physical activities, caring for children with special needs, etc..

All caregivers are required to be trained on sections 7-24 of the Child Care Licensing Rules. They are also required to be trained on the following topics: job description and duties, the Department approved health and safety plan that includes preparing for and responding to emergencies, a review of the information in each child's health assessment, and an introduction and orientation to the children in care.

Section 16 of the Child Care Licensing Administrative Rules addresses food and nutrition requirements and practices. These rules address time of feeding, approved menus, food allergies, and proper handling of foods.

Section 18 of the Child Care Licensing Administrative Rules addresses activities. These rules address offering opportunities for daily activities to support healthy physical, social, emotional, cognitive, and language development of the children. This rule also addresses schedules and screen time.

Provide the citation for other training requirements, including citations for both licensed and license-exempt providers

Child Care Licensing Administrative Rules R380-100-7(19), R380-60-7(19), R380-70-7(19), R430-90-7(13), R430-50-7(13). Child Care Licensing Administrative Rules R381-100-16. The same rule applies to all facility types. Child Care Licensing Administrative Rules R381-100-18. The same rule applies to all facility types.

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

Annually

Other

Describe:

How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed-exempt CCDF programs?

Annually

Other

Describe:

5.3 Monitoring and Enforcement Policies and Practices for CCDF Providers

5.3.1 Enforcement of licensing and health and safety requirements

Lead agencies must certify that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with all applicable State and local health and safety requirements, including those described in 98.41 (98.42(a)). This may include, but is not limited to, any systems used to ensure that providers complete health and safety trainings, any documentation required to be maintained by child care providers or any other monitoring procedures to ensure compliance. Note: Inspection requirements are described starting in 5.3.2.

To certify, describe the procedures to ensure that CCDF providers comply with all applicable

State and local health and safety requirements

Licensors use electronic checklists to verify compliance with all health and safety requirements. They bring iPads to use and complete those checklists at every inspection and to email a copy of the checklist to the provider right after the inspection is completed. Providers are required to submit documentation such as business license, local health department kitchen inspection, and fire department inspection before a new license is issued and every time they renew their license.

Required training can be verified by the licensor using the training registry database if the provider has reported that training to the registry. The provider can also have copies of training certificates available for review at the inspection to verify compliance. If training was delivered by CCL, that training gets recorded by licensing trainers and available to the licensor before the inspection.

Other forms such as menus, parent permission forms, enrollment forms, etc, are to be kept at the facility and available for licensor review. All providers receive at least one announced or pre-license and one unannounced inspection every year.

Licensors have access to the CCL database that alerts them for the need of inspections and all necessary follow-up inspections. This database is also used to track provider's compliance and reporting to the public and to other partner agencies. At the same time, providers have access to a licensing portal to help them track their own facility compliance history, to submit documentation to licensing, to authorize their employees' background checks, to associate and disassociate employees and to set their roles, and to track their facility payment ledger.

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

During the COVID-19 health crisis only, CCL is allowing virtual inspections to be completed on a case-by-case basis only as long as the health and safety of the children is not compromised. The history of provider violations and safety issues is taken into account. All required unannounced and announced inspections are completed within the 12 month time period.

5.3.2 Inspections for licensed CCDF providers.

Lead agencies must require licensing inspectors to perform inspections-with no fewer than one pre-licensure inspection for compliance with health, safety, and fire standards-of each child care provider and facility in the state/territory. Licensing inspectors are required to perform no fewer than one annual, unannounced inspection of each licensed CCDF provider for compliance with all child care licensing standards; it shall include an inspection for compliance with health and safety (including, but not limited to, those requirements described in 98.41) and fire standards; inspectors may inspect for compliance with all three standards - health, safety, and fire - at the same time (658E(c)(2)(K)(i)(II); 98.16 (n); 98.42(b)(2)(i)). Certify by responding to the questions below to describe your state/territory's monitoring and enforcement procedures to ensure that licensed child care providers comply with licensing standards, including compliance with health and safety (including, but not limited to, those requirements described in 98.41) and fire standards.

Effective Date: 03/16/2020

a) Licensed CCDF center-based child care

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed child care center providers for compliance with health, safety, and fire standards

All child care center providers are required to pass a pre-license health and safety and fire standards inspection. They are also required to pass a fire inspection, an environmental inspection, and to have a city business license. All corrections needed must be completed before a license is issued.

2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF child care center providers

All child care center providers receive an annual unannounced health and safety inspection. During this inspection, the most critical rules are assessed. All violations must be corrected in order to stay in compliance.

3. Identify the frequency of unannounced inspections:

- Once a year
 More than once a year

Describe:

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that child care center providers comply with the applicable licensing standards, including health, safety, and fire standards.

CCL ensures compliance to licensing rules through ongoing inspections of child care facilities, thus preventing the continued operation of substandard child care programs. These inspections are conducted by licensors who have child care experience and extensive training, including up-to-date and comprehensive training on playground safety from an industry-leading certification program.

During inspections, a licensor will:

- Inspect all rooms, areas, and items that are accessible to children in care including:
 - a) Areas that are not used for child care, but are accessible to children.
 - b) Areas (such as hallways) that are used by unsupervised children on their way to and from bathrooms, the outside play area, the kitchen, etc.
- Check that there are no children and/or illegal items in rooms and areas that are inaccessible to children. A locked room will need to be opened and observed unless:
 - a) it is never used by any child in care,
 - b) it is always locked when any child is in care, and
 - c) the provider has a way for the licensor to view the entire room without unlocking it.
- Inspect outdoor areas and equipment. This includes all locked and unlocked sheds, garages, storage areas, and campers.

The licensors use standardized checklists to ensure consistency for each inspection. These checklists are published on the CCL website at: childcarelicensing.utah.gov. When needed to verify compliance with the rules and depending on the inspection type, a licensor may:

- a) Ask additional clarifying questions.
- b) Review records including the facility's general paperwork, each staff member's

records, and the records kept for each child in care.

- c) Observe a diaper change, if there are diapered children in care at the time of the inspection.
- d) Inspect each vehicle used to transport the children.
- e) Take pictures of items in order to better explain a situation to the manager and/or to be used as documentation of noncompliance.
- f) Interview staff, children, and/or parents of enrolled children.
- g) Ask for written statements.
- h) Record audio statements.
- i) Bring additional CCL staff to help with the inspection, depending on the size of the facility or as instructed by their supervisor.

Both announced and unannounced health and safety inspections are conducted for every facility. The announced inspection addresses all health and safety requirements and must be completed and the provider must be in compliance with all rules before a license is renewed. These providers are also required to pass a local fire and a kitchen inspection and to present a current fire and kitchen inspection certification at renewal each year.

Additionally, due to the challenges presented by COVID-19 and to keep child care providers and Child Care Licensing staff safe, a waiver has been approved. Child Care Licensing has temporarily stopped conducting on-site inspections. Inspections are completed virtually, as needed. This only applies to those providers whose annual renewal inspection date or required follow-up inspection fall within the current pandemic circumstances. This process is re-evaluated every two weeks using data collected to make data-driven decisions.

5. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF center providers

Child Care Licensing Administrative Rule Interpretation Manual - Introduction

<https://childcarelicensing.utah.gov/rules/Interpretation/Center/Center%202018%20Introduction.pdf>

Utah Code §26-39-301(1)(b)(v)

Child Care Licensing Administrative Rules R381-100-4(2)

b) Licensed CCDF family child care home

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed family child care providers for compliance with health, safety, and fire standards

All licensed family child care providers are required to pass a pre-license health and safety inspection. They are also required to pass a fire inspection, an environmental inspection, and to have a city business license. All corrections needed must be

completed before a license is issued.

2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF family child care providers

All licensed family child care providers receive an annual unannounced health and safety inspection. During this inspection, the most critical rules are assessed. All violations must be corrected in order to remain in compliance.

3. Identify the frequency of unannounced inspections:

- Once a year
- More than once a year

Describe:

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that CCDF family child care providers comply with the applicable licensing standards, including health, safety, and fire standards.

CCL ensures compliance to licensing rules through ongoing inspections of child care facilities, thus preventing the continued operation of substandard child care programs. These inspections are conducted by licensors who have child care experience and extensive training, including up-to-date and comprehensive training on playground safety from an industry-leading certification program.

During inspections, a licensor will:

- Inspect all rooms, areas, and items that are accessible to children in care including:
 - a) Areas that are not used for child care, but are accessible to children.
 - b) Areas (such as hallways) that are used by unsupervised children on their way to and from bathrooms, the outside play area, the kitchen, etc.
- Check that there are no children and/or illegal items in rooms and areas that are inaccessible to children. A locked room will need to be opened and observed unless:
 - a) it is never used by any child in care,
 - b) it is always locked when any child is in care, and
 - c) the provider has a way for the licensor to view the entire room without unlocking it.
- Inspect outdoor areas and equipment. This includes all locked and unlocked sheds, garages, storage areas, and campers.

The licensors use standardized checklists to ensure consistency for each inspection.

These checklists are published on the CCL website at: childcarelicensing.utah.gov. When needed to verify compliance with the rules and depending on the inspection type, a licenser may:

- a) Ask additional clarifying questions.
- b) Review records - the facility's general paperwork, each staff member's records, and the records kept for each child in care.
- c) Observe a diaper change, if there are diapered children in care at the time of the inspection.
- d) Inspect each vehicle used to transport the children.
- e) Take pictures of items in order to better explain a situation to their manager and/or to be used as documentation of noncompliance.
- f) Interview staff, children, and/or parents of enrolled children.
- g) Ask for written statements.
- h) Record audio statements.
- i) Bring additional CCL staff to help with the inspection, depending on the size of the facility or as instructed by their supervisor.

Both announced and unannounced health and safety inspections are conducted for every facility. The announce inspection addresses all health and safety requirements and has to be completed and the provider in compliance with all rules before a license is renewed. These providers are also required to pass a local fire and a kitchen inspection and to present a current fire and kitchen inspection certification at renewal each year.

Additionally, due to the challenges presented by COVID-19 and to keep child care providers and Child Care Licensing staff safe, a waiver has been approved. Child Care Licensing has temporarily stopped conducting on-site inspections. Inspections are completed virtually, as needed. This only applies to those providers whose annual renewal inspection date or required follow-up inspection fall within the current pandemic circumstances. This process is re-evaluated every two weeks using data collected to make data-driven decisions.

5. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF family child care providers

Rule interpretation Manual - Introduction

<https://childcarelicensing.utah.gov/rules/Interpretation/family/Home%202018%20Introduction.pdf> Utah Code §26-39-301(1)(b)(v)

Child Care Licensing Administrative Rules R430-90-4(2)

c) Licensed in-home CCDF child care



N/A. In-home CCDF child care (care in the child's own home) is not licensed in the State/Territory. Skip to 5.3.2 (d).

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed in-home child care providers for compliance with health, safety, and fire standards

2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF in-home child providers

3. Identify the frequency of unannounced inspections:

Once a year

More than once a year

Describe:

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that in-home CCDF child care providers comply with the applicable licensing standards, including health, safety, and fire standards.

5. List the citation(s) for your state/territory's policies regarding inspections for licensed in-home CCDF providers

d) List the entity(ies) in your state/territory that are responsible for conducting pre-licensure inspections and unannounced inspections of licensed CCDF providers

Utah Department of Health, Child Care Licensing (CCL)

5.3.3 Inspections for license-exempt CCDF providers

Lead Agencies must have policies and practices that require licensing inspectors (or qualified monitors designated by the Lead Agency) to perform an annual monitoring visit of each license-exempt CCDF provider for compliance with health, safety (including, but not limited to, those requirements described in 98.41), and fire standards (658E(c)(2)(K)(i)(IV); 98.42(b)(2)(ii)). Lead Agencies have the option to exempt relative providers (as described in section (658P(6)(B)) from this requirement. To certify, respond to the questions below to describe the policies and practices for the annual monitoring of:

Effective Date: 03/16/2020

a) License-exempt center-based CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is used

License-exempt center-based CCDF providers are monitored by Child Care Licensing licensors twice a year. One inspection is announced and the other one is unannounced. They also receive a pre-inspection before they are approved. During all inspections, compliance with health, safety, and fire standards are monitored. License-exempt providers are required to be in compliance with all local fire department regulations. In addition, licensors verify during inspections that other fire requirements such as having a working fire extinguisher, a smoke detector, and practice of fire drills are in compliance.

These providers will also have Complaint Investigations when there are reports of alleged noncompliance with child care regulations. During these inspections and investigations, licensors assess compliance with regulations. When noncompliance is found and not corrected during the inspections or investigations, providers are given dates by which to show compliance. When providers do not show compliance by those dates, their approvals are deactivated. Differential monitoring is used during the unannounced inspection. The checklist for this inspection is more condensed, addressing only high risk level rules. This inspection type is used for all providers.

Additionally, due to the challenges presented by COVID-19 and to keep child care providers and Child Care Licensing staff safe, a waiver has been approved. Child Care Licensing has temporarily stopped conducting on-site inspections. Inspections are completed virtually, as needed. This only applies to those providers whose annual renewal inspection date or required follow-up inspection fall within the current pandemic circumstances. This process is re-evaluated every two weeks using data collected to make data-driven decisions. The waiver also applies to license-exempt family and license-exempt in-home providers described in section 5.3.3 (b) and (c).

[Provide the citation\(s\) for this policy or procedure](#)

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) FFN Approval Requirements, written protocol under "Inspections".

Health and Safety Regulations, 1) a-g

<https://childcarelicensing.utah.gov/DWS%20Child%20Care/LE%20Requirements.pdf>

b) License-exempt family child care CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is used

License-exempt family child care CCDF providers or FFN are monitored twice a year. One health and safety inspection is announced and the second one is unannounced. Before initial approval, the provider will have an announced home inspection to assess compliance with the health and safety regulations. During all inspections, compliance with health, safety, and fire standards are monitored. License exempt family providers are required to be in compliance with all local fire department regulations. In addition, licensors verify during inspections that other fire requirements such as having a working fire extinguisher, a smoke detector, and practice of fire drills are in compliance. When noncompliance to any regulation is found during this inspection, the provider will be given a date to come into compliance with the regulation(s).

The application will be denied when:

- a) The provider is chronically not there for the home inspection.
- b) The provider does not show compliance with the regulation(s) by the required date.

During the approval year, the provider will have an unannounced inspection to assess compliance with the health and safety regulations. Before this inspection, the provider will be contacted and asked the days and times he/she is providing child care. When noncompliance to any regulation is found during this inspection, the provider will be given a date to come into compliance with the regulation(s).

The approval will be deactivated when:

- a) The provider does not contact the licensor with the days and times he/she is providing child care.
- b) The provider is not there for the inspection. (Several attempts will be made to complete the inspection.)
- c) The provider does not show compliance with the regulation(s) by the required date.

Before the expiration date of the approval, the provider will have an announced inspection to assess compliance with the health and safety regulations. When noncompliance to any regulation is found during this inspection, the provider will be given a date to come into compliance with the regulation(s).

The approval will be deactivated when:

- a) The provider is not there for the inspection.
- b) The provider does not show compliance with the regulation(s) by the required date.

When there are concerns with compliance, the providers will have an unannounced inspection to assess compliance with the health and safety regulations. When noncompliance to any regulation is found during this inspection, the provider will be given

a date to come into compliance with the regulation(s). When the provider does not show compliance with regulations by the required date, the approval will be deactivated. Differential monitoring is used during the unannounced inspection. The checklist for this inspection is more condensed, addressing only high risk level rules. This inspection type is used for all providers.

[Provide the citation\(s\) for this policy or procedure](#)

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) FFN Approval Requirements, written protocol under "Inspections".

<https://childcarelicensing.utah.gov/DWS%20Child%20Care/FFN%20Requirements.pdf>

[c\) License-exempt in-home CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, if relative care is exempt from monitoring, and if differential monitoring is used](#)

In-home care providers in Utah are also referred to as FFN. License-exempt family child care CCDF providers or FFN are monitored twice a year. One health and safety inspection is announced and the other one is unannounced. Before initial approval, the provider will have an announced home inspection to assess compliance with the health and safety regulations. When noncompliance to any regulation is found during this inspection, the provider will be given a date to come into compliance with the regulation(s). The application will be denied when:

a) The provider is chronically not present for the home inspection.

b) The provider does not show compliance with the regulation(s) by the required date. During the approval year, the provider will have an unannounced inspection to assess compliance with the health and safety regulations. Before this inspection, the provider will be contacted and asked the days and times he/she is providing child care. When noncompliance to any regulation is found during this inspection, the provider will be given a date to come into compliance with the regulation(s). The approval will be deactivated when:

a) The provider does not contact the licensor with the days and times he/she is providing child care.

b) The provider is not there for the inspection. (Several attempts will be made to complete the inspection.)

c) The provider does not show compliance with the regulation(s) by the required date.

Before the expiration date of the approval, the provider will have an announced inspection to assess compliance with the health and safety regulations. When noncompliance to any regulation is found during this inspection, the provider will be given a date to come into compliance with the regulation(s). The approval will be deactivated when:

- a) The provider is not there for the inspection.
- b) The provider does not show compliance with the regulation(s) by the required date.

When there are concerns with compliance, the providers will have an unannounced inspection to assess compliance with the health and safety regulations. When noncompliance to any regulation is found during this inspection, the provider will be given a date to come into compliance with the regulation(s). When the provider does not show compliance with regulations by the required date, the approval will be deactivated. Differential monitoring is used during the unannounced inspection. The checklist for this inspection is more condensed, addressing only high risk level rules. This inspection type is used for all providers.

[Provide the citation\(s\) for this policy or procedure](#)

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) FFN Approval Requirements, written protocol under "Inspections".

<https://childcarelicensing.utah.gov/DWS%20Child%20Care/FFN%20Requirements.pdf>

[d\) Lead Agencies have the option to develop alternate monitoring requirements for care provided in the child's home \(98.42\(b\)\(2\)\(iv\)\(B\)\). Does your state use alternate monitoring procedures for monitoring in-home care?](#)

No

Yes. If yes,

decide:

[e\) List the entity\(ies\) in your state/territory that are responsible for conducting inspections of license-exempt CCDF providers](#)

Utah Department of Health, Child Care Licensing (CCL)

5.3.4 Licensing inspectors.

Effective Date: 10/01/2018

Lead Agencies will have policies and practices that ensure that individuals who are hired as licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified to inspect child care providers and facilities and have received health and safety training appropriate to the provider setting and age of the children served. Training shall include, but is not limited to, those requirements described in 98.41(a)(1) and all aspects of the State's licensure requirements (658E(c)(2)(K)(i)(I); 98.42(b)(1-2)).

a) To certify, describe how the Lead Agency ensures that licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified to inspect child care facilities and providers and that those inspectors have received training on health and safety requirements that are appropriate to the age of the children in care and the type of provider setting (98.42(b)(1-2)).

Child Care Licensing hires licensors who comply with the following qualifications:

1. They can demonstrate experience as an owner or employee at a child care facility.
2. They have at least a bachelor's degree in any field related to child development or early childhood.
3. They can successfully pass a fingerprint-based background check through Utah Public Safety.

After hiring, licensors are required to complete initial training including rules and regulations, policies and procedures, caseload management, inspection procedures and observations, licensing database and website usage, and all related topics required of child caregivers during their pre-service training. Those topics include, but are not limited to:

1. Prevention and control of infectious diseases (including immunization)
2. Prevention of sudden infant death syndrome and the use of safe-sleep practices
3. Administration of medication, consistent with standards for parental consent
4. Prevention of and response to emergencies due to food and allergic reactions
5. Building and physical premises safety, including the identification of and protection from hazards that can cause bodily injury, such as electrical hazards, bodies of water, and vehicular traffic
6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event (such as violence at a child care facility)
8. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants
9. Precautions in transporting children.
10. Pediatric first aid and cardiopulmonary resuscitation (CPR) certification
11. Recognition and reporting of child abuse and neglect
12. Nutrition
13. Access to physical activity

Licensors have to complete initial training and be approved by their supervisor before they start conducting inspections on their own. This initial training normally lasts four to six months on average. New licensors are also placed on a one-year probationary period during which employment can be terminated by either party if success is not achieved. All licensors are required to attend an all-day, once a month competency-based training. These trainings include all topics required of providers, principles and practices for conducting inspections, rules and policies, professional development, and additional topics selected from Nara licensing training. During these trainings we address three foundational aspects: Knowledge, skills, and behavior.

Licensing has additional required trainings for all staff such as Crucial Conversations, Strengths Finders, and all state Human Resources trainings. In addition, licensors get Pediatric first aid and cardiopulmonary resuscitation (CPR) certified. All licensors receive ongoing observations by their supervisors. These observations are unannounced on-site observations.

b) Provide the citation(s) for this policy or procedure

Child Care Licensing written Protocol, under "Staff".

5.3.5 The states and territories shall have policies and practices that require the ratio of licensing inspectors to child care providers and facilities in the state/territory to be maintained at a level sufficient to enable the state/territory to conduct effective inspections of child care providers and facilities on a timely basis in accordance with

a) To certify, describe the state/territory policies and practices regarding the ratio of licensing inspectors to child care providers (i.e. number of inspectors per number of child care providers) and facilities in the state/territory and include how the ratio is sufficient to conduct effective inspections on a timely basis.

In Utah, licensors are organized by teams depending on facility type. There is a centers team, homes team and license exempt team. Additionally, there is a licensor whose only assignment is to conduct complaint investigations.

Child Care Licensing staff telework. This allows for more flexibility and efficiencies. In addition to licensor location, travel distances, and facility type distribution, Child Care Licensing considers inspection types, facility size, licensor experience, and other responsibilities licensors may have when assigning caseloads.

In order to ensure consistency of inspections, licensors' caseloads are switched at least every two years. Licensing has found this practice to be very beneficial in helping to avoid the development of less professional relationships between the licensor and the provider. It also helps licensors to stay up-to-date on protocol and rule knowledge and consistency in application of procedures.

This distribution of teams and assignments has facilitated the management of caseloads making the ratio sufficient to conduct efficient and effective inspections on a timely basis.

The average home licensor caseloads is 105.

The average center licensor caseloads is 88.

The average license exempt licensor caseloads is 95.

b) Provide the policy citation and state/territory ratio of licensing inspectors

Child Care Licensing written Protocol, under "Staff".

5.3.6 States and territories have the option to exempt relatives (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles (98.42(c)) from inspection requirements. Note: This exception only applies if the individual cares only for relative children. Does the state/territory exempt relatives from the inspection requirements listed in 5.3.3?

Effective Date: 10/01/2018

Yes, relatives are exempt from all inspection requirements.

If the state/territory exempts relatives from all inspection requirements, describe how the state ensures the health and safety of children in relative care.

Yes, relatives are exempt from some inspection requirements.

If the state/territory exempts relatives from the inspection requirements, describe which inspection requirements do not apply to relative providers (including which relatives may be exempt) and how the State ensures the health and safety of children in relative care.

No, relatives are not exempt from inspection requirements.

5.4 Criminal Background Checks

The CCDBG Act requires states and territories to have in effect requirements, policies and procedures to conduct criminal background checks for all child care staff members (including prospective staff members) of all child care programs that are 1) licensed, regulated, or registered under state/territory law; or, 2) all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers) (98.43(a)(1)(i)). Background check requirements apply to any staff member who is employed by a child care provider for compensation, including contract employees and self-employed individuals; whose activities involve the care or supervision of children; or who has unsupervised access to children (98.43(2)). For FCC homes, this requirement includes the caregiver and any other adults residing in the family child care home who are age 18 or older (98.43(2)(ii)(C)). This requirement does not apply to individuals who are related to all children for whom child care services are provided (98.43(2)(B)(ii)).

A criminal background check must include 8 specific components (98.43(2)(b)), which encompass 3 in-state checks, 2 national checks, and 3 inter-state checks

Components	In-State	National	Inter-State
1. Criminal registry or repository using fingerprints in the current state of residency	x		
2. Sex offender registry or repository check in the current state of residency	x		
3. Child abuse and neglect registry and database check in the current state of residency	x		
4. FBI fingerprint check		x	
5. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR)		x	
6. Criminal registry or repository in any other state where the individual has resided in the past 5 years, with the use of fingerprints being optional			x
7. Sex offender registry or repository in any other state where the individual has resided in the past 5 years			x
8. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years			x

In recognition of the significant challenges to implementing the Child Care and Development Fund (CCDF) background check requirements, all States applied for and received extensions through September 30, 2018. The Office of Child Care (OCC)/Administration for Children and Families (ACF)/U. S. Department of Health and Human Services (HHS) is committed to granting additional waivers of up to 2 years, in one year increments (i.e., potentially through September 30, 2020) if significant milestones for background check requirements are met.

In order to receive these time-limited waivers, states and territories will demonstrate that the milestones are met by responding to questions 5.4.1 through 5.4.4 and then apply for the time-limited waiver by completing the questions in Appendix A: Background Check Waiver Request Form. By September 30, 2018, states and territories must have requirements, policies and procedures for four specific background check components, and must be conducting those checks for all new (prospective) child care staff, in accordance with 98.43 and 98.16(o):

--The national FBI fingerprint check; and,	
--The three in-state background check provisions for the current state of residency:	
	--state criminal registry or repository using fingerprints;
	--state sex offender registry or repository check;
	--state-based child abuse and neglect registry and database.

All four components are required in order for the milestone to be considered met.

Components	New (Prospective) Staff	Existing Staff
1. Criminal registry or repository using	Milestone/Prerequisite	Possible Time Limited

fingerprints in the current state of residency	for Waiver	Waiver for current (existing) staff
2. Sex offender registry or repository check in the current state of residency	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
3. Child abuse and neglect registry and database check in the current state of residency	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
4. FBI fingerprint check	Milestone/Prerequisite for Waiver	Possible Time Limited Waiver for current (existing) staff
5. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR)	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	
6. Criminal registry or repository in any other state where the individual has resided in the past 5 years, with the use of fingerprints being optional	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	
7. Sex offender registry or repository in any other state where the individual has resided in the past 5 years	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	
8. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years	Possible Time Limited Waiver for: --Establishing requirements and procedures and/or --Conducting checks on all new (prospective) staff and/or --Conducting checks on current (existing) staff	

Use the questions below to describe the status of the requirements, policies and procedures for background check requirements. These descriptions must provide sufficient information to demonstrate how the milestone prerequisites are being met and the status of the other components that are not part of the milestone. Lead Agencies have the opportunity to submit a waiver request in Appendix A: Background Check Waiver Request Form, for components not included in the milestones. Approval of these waiver requests will be subject to verification that the milestone components have been met as part of the CCDF Plan review and approval process.

In-state Background Check Requirements

5.4.1 In-State Criminal Registry or Repository Checks with Fingerprints Requirements (98.43(b)(3)(i)).

Note: A search of a general public facing judicial website does not satisfy this requirement. This check is required in addition to the national FBI criminal history check (5.4.4 below) to mitigate any gaps that may exist between the two sources.

Effective Date: 03/30/2020

a) Milestone #1 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state criminal registry or repository, with the use of fingerprints required in the state where the staff member resides.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

As part of the initial and renewal licensure or approval process, all licensed, regulated, or registered child care providers are required to submit initial background check forms including fingerprints. If fingerprints were already submitted to complete a Next Generation check, the Utah Department of Public Safety (Public Safety) retains those prints so the applicant does not have to submit them every year. Utah uses the rap back system which allows Utah to receive daily reports from the FBI on all individuals in the system about any criminal charges. CCL uses the fingerprints to check the in-state criminal registry through Public Safety.

Checking the in-state criminal registry applies to all licensed, regulated, or registered child care providers and every covered individual. Providers are defined as the owner or the licensee. Caregivers are individuals the provider uses to help care for the children. It is very common to see the provider as a caregiver as well. Covered individuals include all owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child, household members 12 years and older, and anyone who has unsupervised access with a child in care.

To complete a background check, individuals involved with any child care facility can submit an online background check form. That form goes to the provider's portal where it needs to be authorized, paid for, and electronically submitted to CCL. CCL will normally complete a background check within three business days after receiving a complete and paid form. If the individual has resided outside of Utah for the past five years, the results can take a little longer due to the challenge of getting information about the individual from those other states. Fingerprints are also required with the initial background check form for all covered individuals 18 years old and older as part of their background check. Individuals can submit fingerprints using a large variety of fingerprint scanners in the state. CCL has placed a live-scan machine at three of the six CCR&R agencies in the state where individuals involved with child care can have their prints scanned electronically at no cost. They only need to pay for the cost of conducting the check. There are many other options throughout the state individuals can use to scan their fingerprints. The cost varies depending on the options selected.

The provider and the individual will receive the results of the check electronically on the provider's portal and by email. If the individual passes the check, a background check card will be issued and sent to the individual. That card can be used to provide child care at any child care facility in Utah as long as the card remains active. Background checks for individuals younger than 18 are not required to include fingerprints per Utah Code §26-39-404(2)(A). However, caregivers who are 16 or 17 years of age are also required to submit fingerprints as part of their regular background check if the facility receives any CCDF funding. The same statute authorizes CCL access to juvenile courts.

In Utah, CCL employees who have been authorized by Public Safety to have access to the different state criminal databases check the in-state criminal registry using fingerprints. They also check the in-state sex offender registry and the in-state child abuse and neglect registry and database for all individuals' background checks. Fingerprints are sent to Public Safety and the results are received by CCL.

Child Care Licensing Administrative Rules R381-100-2, same definition for all facility types.

Child Care Licensing Administrative Rules R381-100-8, same background checks rule requirement for all facility types.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

An emergency waiver has been approved to waive the requirement for criminal background checks to be completed by Child Care Licensing for child care staff members working at temporary Emergency Child Care Centers operating in schools. The school districts already require a background check to be completed. Additionally, places where background checks are normally conducted are temporarily closed during the COVID-19 pandemic.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

These requirements, policies and procedures also apply to all other providers eligible to deliver CCDF services whether licensed or license exempt. Checking the in-state criminal registry is part of the background check conducted for child care providers and every covered individual. CCL does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility must submit fingerprints and complete a CCL background check, with no exceptions.

Child Care Licensing Administrative Rules R381-100-2(16), same definition for all facility types.

Child Care Licensing Administrative Rules R381-100-8, same background checks rule requirement for all facility types.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

b) Has the search of the in-state criminal registry or repository, with the use of fingerprints, been conducted for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

The search of the instate criminal registry or repository, with the use of fingerprints, has been conducted for all current (existing) child care staff. All covered individuals (owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child , household members 12 years and older, and anyone who has unsupervised access with a child in care) were required to pass a Child Care Licensing background check including fingerprints for a National Next Generation Fingerprint check.

Fingerprints were not initially required of individuals not associated with a facility providing CCDF services. However, Utah statute has changed and now all covered individuals in any child care program are required to submit fingerprints as part of their background check. There were no other differences in the policies and procedures for any child care provider type.

Child Care Licensing Administrative Rules R381-100-2, same definition for all facility types.

Child Care Licensing Administrative Rules R381-100-8, same background checks rule requirement for all facility types.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state criminal registry or repository, using fingerprints for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

5.4.2 In-State Sex Offender Registry Requirements (98.43(b)(3)(B)(ii)).

Note: This check must be completed in addition to the national NCIC sex offender registry check (5.4.5 below) to mitigate any gaps that may exist between the two sources. Use of fingerprints is optional to conduct this check.

Effective Date: 10/01/2018

a) Milestone #2 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state sex offender registry.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

In addition to the national NCIC sex offender registry check, an initial and annual search of the state sex offender registry for all covered individuals (owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child, household members 12 years and older, and anyone who has unsupervised access with a child in care) is conducted by CCL.

Licensors also print out a half-mile radius report from the local sex offender registry on the facility address and give it to the provider during the annual announced inspection.

This serves as technical assistance to the provider to help them prevent any of the individuals on the report from having access to the children in care. Licensors also check to see if there are any individuals in that report residing at the facility where child care is provided.

To complete a background check, individuals involved with any child care facility submit

an online background check form. That form goes to the provider's portal where it needs to be authorized, paid for, and electronically submitted to CCL. CCL will normally complete a background check within three business days after receiving a complete form and payment.

The provider and the individual will receive the results of the check electronically on the provider's portal and by email. If the individual passes the check, a background check card will be issued and sent to the individual. That card can be used to provide child care at any child care facility in Utah as long as the card remains active.

In Utah, CCL employees who have been authorized by Public Safety to access the different state criminal databases check the in-state criminal sex offender registry.

Child Care Licensing Administrative Rules R381-100-2(16), same definition for all facility types.

Child Care Licensing Administrative Rules R381-100-8, same background checks rule requirement for all facility types.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

[ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services \(e.g., license-exempt CCDF eligible providers\), in accordance with 98.43\(a\)\(1\)\(i\) and 98.16\(o\). Describe and provide citations](#)

These requirements, policies and procedures also apply to all other providers eligible to deliver CCDF services whether licensed or license exempt. Checking the state sex offender registry is part of the background check conducted for child care providers and every covered individual. CCL does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility will have to have a complete CCL background check with no exceptions.

Child Care Licensing Administrative Rules R381-100-2(16), same definition for all facility types.

Child Care Licensing Administrative Rules R381-100-8, same background checks rule requirement for all facility types.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404.

b) Has the search of the in-state sex offender registry been conducted for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

The search of the instate sex offender registry has been conducted for all current (existing) child care staff. All covered individuals (owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child , household members 12 years and older, and anyone who has unsupervised access with a child in care) were required to pass a Child Care Licensing background check including the search of the instate sex offender registry. There are no differences in the process for existing staff than what was described for new staff.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state criminal registry or repository, using fingerprints for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

5.4.3 In-State Child Abuse and Neglect Registry Requirements (98.43(b)(3)(B)(iii)).

Note: This is a name-based search.

Effective Date: 10/01/2018

a) Milestone #3 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state child abuse and neglect registry.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

An annual search of the state-based child abuse and neglect database for all covered individuals (owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child, household members 12 years and older, and anyone who has unsupervised access with a child in care) is conducted by CCL as part of the initial and annual renewal of the background check.

To complete a background check, individuals involved with any child care facility submit an online background check form. That form goes to the provider's portal where it needs to be authorized, paid for, and electronically submitted to CCL. CCL will normally complete a background check within three business days after receiving a complete and paid form.

The provider and the individual will receive the results of the check electronically on the provider's portal and by email. If the individual passes the check, a background check card will be issued and sent to the individual. That card can be used to provide child care at any child care facility in Utah as long as the card remains active.

In Utah, CCL employees have been authorized by Public Safety to access the different state criminal and DCFS databases to conduct these checks.

Child Care Licensing Administrative Rules R381-100-2(16), same definition for all facility

types.

Child Care Licensing Administrative Rules R381-100-8, same background checks rule requirement for all facility types.

Utah Code §26-39-404.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

These requirements, policies and procedures also apply to all other providers eligible to deliver CCDF services whether licensed or license exempt. Checking the state-based child abuse and neglect database is part of the background check conducted for child care providers and every covered individual. CCL does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility must complete a CCL background check with no exceptions.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings. License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404.

b) Has the search of the in-state child abuse and neglect registry been conducted for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

The search of the state-based child abuse and neglect database has been conducted for all current (existing) child care staff. All covered individuals (owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child , household members 12 years and older, and anyone who has unsupervised access with a child in care) were required to pass a Child Care Licensing background check including the search of the state-based child abuse and neglect database. There are no differences in the process for existing staff than what

was described for new staff.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings. License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state child abuse and neglect registry for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

National Background Check Requirements

5.4.4 National FBI Criminal Fingerprint Search Requirements (98.43(b)(1)).

Note: The in-state (5.4.1 above) and the inter-state (5.4.6 below) criminal history check must be completed in addition to the FBI fingerprint check because there could be state crimes that do not appear in the national repository. Also note, that an FBI fingerprint check satisfies the requirement to perform an interstate check of another State's criminal history records repository if the responding state (where the child care staff member has resided within the past five years) participates in the National Fingerprint File program (CCDF-ACF-PIQ-2017-01).

Effective Date: 03/16/2020

a) Milestone #4 Prerequisite for New (Prospective) Child Care Staff. Describe the

requirements, policies and procedures for the search of the National FBI fingerprint check.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

Fingerprints are required for all covered individuals (owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child, household members 18 years and older, and anyone who has unsupervised access with a child in care) to conduct the FBI fingerprint check using Next Generation Identification before any individual becomes involved with the facility. If fingerprints were already submitted to complete a Next Generation check, Public Safety retains those prints so the applicant does not have to submit them every year. Utah uses the rap back system which allows Utah to receive daily reports from the FBI on all individuals in the system about any criminal charges.

Fingerprints can be submitted to the FBI electronically through Public Safety using the required CCL b-code that the FBI will require to submit results back to CCL. If the caregiver does not have access to live scan, hard copies of the fingerprints can be submitted to CCL. CCL will scan those copies and then submit them to the FBI through Public Safety using an approved fingerprint scanner for this purpose. Fingerprints for an FBI fingerprint check using Next Generation Identification are also required for any 16-17 year-old caregiver. CCL employees who have been authorized by Public Safety to conduct background checks receive and evaluate the information received from the FBI to determine compliance with the rules.

These requirements apply to all licensed, regulated, or registered child care providers.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

R381-100-2(16), same definition for all facility types. R381-100-8, same background checks rule requirement for all facility types.

Utah statute 26-39-404

An emergency waiver has been approved during the COVID-19 pandemic for Child Care Licensing to use the name search process instead of fingerprints to conduct FBI background checks. This process will continue until places where fingerprints are collected are open again. By using the name search feature, Child Care Licensing is

unable to use the Rap Back system.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

These requirements, policies and procedures also apply to all other providers eligible to deliver CCDF services. If they are found out of compliance with these requirements, they will be not eligible to receive CCDF assistance. CCL does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility will have to have a complete CCL background check with no exceptions.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

An emergency waiver has been approved during the COVID-19 pandemic for Child Care Licensing to use the name search process instead of fingerprints to conduct FBI background checks. This process will continue until places where fingerprints are collected are open again. By using the name search feature, Child Care Licensing is unable to use the Rap Back system.

b) For all current (existing) child care staff, has the FBI criminal fingerprint check been conducted?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

FBI criminal fingerprint checks have been conducted for all current (existing) child care staff. There are no differences in the process for current staff and new staff. CCL does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility will have to have a complete CCL background check with no exceptions.

- No. (Waiver request allowed. See Appendix A). Describe the status of conducting the FBI fingerprint check for current (existing) child care staff including:
- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
 - Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)
 - Key challenges to fully implementing this requirements
 - Strategies used to address these challenges

Describe:

National Background Check Requirements

5.4.5 National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) Search Requirements (98.43(b)(2)).

Note: This is a name-based search. Searching general public facing sex offender registries does not satisfy this requirement. This national check must be required in addition to the in-state (5.4.2 above) or inter-state (5.4.7 below) sex offender registry check requirements. This check must be performed by law enforcement.

Effective Date: 10/01/2018

a) Has the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check been put in place for all new (prospective) child care staff

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

CCL completes the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) for new (prospective) child care staff through Public Safety. This is a name-based check of the NSOR using the information from the fingerprint database. If fingerprints were already submitted to complete a Next Generation check, Public

Safety retains those prints so the applicant does not have to submit them every year. Utah uses the rap back system which allows Utah to receive daily reports from the FBI on all individuals in the system about any criminal charges.

Fingerprints can be submitted to the FBI electronically through Public Safety using the required CCL b-code that the FBI will require to submit results back to CCL. If the caregiver does not have access to live scan, hard copies of the fingerprints can be submitted to CCL. CCL will scan those copies and then submit them to the FBI through Public Safety using an approved fingerprint scanner for this purpose. Fingerprints for an FBI fingerprint check using Next Generation Identification is also required for any 16-17 year old caregiver. CCL employees who have been authorized by Public Safety to conduct background checks receive and evaluate the information received from the FBI to determine compliance with the rules.

These requirements, policies and procedures apply to all licensed, regulated, or registered child care providers and all covered individuals. Providers not in compliance with these requirements will receive findings and sanctions if any of their covered individuals are not in compliance. They can also be disqualified from receiving CCDF assistance and can eventually lose their license if correction does not take place. If a provider is out of compliance themselves, they will be immediately disqualified.

Child Care Licensing Administrative Rules R381-100-8, same background checks rule requirement for all facility types.

Utah Code §26-39-404

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

These requirements, policies and procedures also apply to all other providers eligible to deliver CCDF services and all covered individuals in their facilities. CCL completes the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) for new (prospective) child care staff through Public Safety. This is a name-based check of the NSOR using the information from the fingerprint database. If fingerprints were already submitted to complete a Next Generation check, Public Safety retains

those prints so the applicant does not have to submit them every year. Utah uses the rap back system which allows Utah to receive daily reports from the FBI on all individuals in the system about any criminal charges. There are no differences in the process for current staff and new staff. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility must have a complete CCL background check with no exceptions.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) for new (prospective) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

b) Has the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

The National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check has been put in place for all current (existing) child care staff. There are no differences in the process for current staff and new staff. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility will have to have a complete CCL background check with no exceptions.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings

and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

Inter-state Background Check Requirements

Checking a potential employee's history in any state other than that in which the provider's services are provided qualifies as an inter-state check, per the definition of required criminal background checks in 98.43(b)(3). For example, an inter-state check would include situations when child care staff members work in one state and live in another state. The statute and regulations require background checks in the state where the staff member resides and each state where the staff member resided during the previous 5 years. Background checks in the state where the staff member is employed may be advisable, but are not strictly required.

5.4.6 Interstate Criminal Registry or Repository Check Requirement (including in any other state where the individual has resided in the past 5 years). (98.43 (b)(3)(i)).

Note: It is optional to use a fingerprint to conduct this check. Searching a general public facing judicial website does not satisfy this requirement. This check must be completed in addition to the national FBI history check (5.4.4 above) to mitigate any gaps that may exist between the two sources (unless the responding state participates in the National Fingerprint File program).

a) Has the interstate criminal registry or repository check been put in place for all new (prospective) child care staff?

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

A search of the criminal registries or repositories in other states where the child care staff member resided during the preceding five years for all covered individuals (owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child, household members 12 years and older, and anyone who has unsupervised access with a child in care) is conducted as part of the initial and annual renewal of the background check. Although direct access to other states' databases has not been possible, licensing staff contacts the states where the individual has resided during the past five years to attain this information.

As part of the new and renewal form for a background check with CCL, there is a field requiring the applicant to report where they have resided during the past five years. CCL will use this information to perform the required checks in the reported states. If required by the other state, the individual will have to pay any fees charged to conduct these additional checks. The individual may be allowed to work under the supervision of an adult who has passed a CCL background check until these results arrive.

These requirements apply to all licensed, regulated, or registered child care providers.

Citations: Child Care Licensing Administrative Rules R381-100-8, R430-90-8 and R430-50-8.

An emergency waiver of interstate criminal background checks has been approved only for child care staff members working in temporary Emergency Child Care locations due to the impacts of COVID-19. Since the nature of Emergency Child Care facilities is to be temporary and to facilitate fast response to the creation of such

facilities, Child Care Licensing does not complete the interstate criminal background checks for staff working at these facilities.

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

These requirements, policies and procedures also apply to all other providers eligible to deliver CCDF services. If they are found out of compliance with these requirements, they will be not eligible to receive CCDF funding. Utah does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility must have a complete CCL background check with no exceptions.

Citations: DWS Administrative Rules R986-700-751 and R986-700-753.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the the interstate criminal registry or repository check for new (prospective) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

b) Has the interstate criminal registry or repository check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

Utah does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility must have a

complete CCL background check with no exceptions.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate criminal registry or repository check for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

5.4.7 Interstate Sex Offender Registry or Repository Check Requirements (including in any state where the individual has resided in the past 5 years). (98.43 (b)(3)(ii)).

Note: It is optional to use a fingerprint to conduct this check. This check must be completed in addition to the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) (5.4.5 above) to mitigate any gaps that may exist between the two sources.

Effective Date: 02/25/2020

a) Has the interstate sex offender registry or repository check been put in place for all new (prospective) child care staff?

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

CCL staff conducts an annual search of the state sex offender registry or repository in each state where the staff member resided during the previous five years for all covered individuals (owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child, household members 12 years and older, and anyone who has unsupervised access with a child in care) as part of the initial and annual renewal of the background check. Although direct access to other states' databases has not been possible, licensing staff contacts the states where the individual has resided during the past five years to attain this information.

As part of the new form for a background check with CCL, there is a field requiring the applicant to report where they have resided during the past five years. CCL will use this information to perform the required checks in the reported states. These requirements apply to all licensed, regulated, or registered child care providers. Providers not in compliance with these requirements will receive findings and sanctions if not in compliance. They can also be disqualified from receiving CCDF funding and can eventually lose their license if correction does not take place.

Citations: Child Care Licensing Administrative Rules R381-100-8, R430-90-8 and R430-50-8.

[ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services \(e.g., license-exempt CCDF eligible providers\), in accordance with 98.43\(a\)\(1\)\(i\) and 98.16\(o\). Describe and provide citations](#)

These requirements, policies and procedures also apply to all other providers eligible to deliver CCDF services. If they are found out of compliance with these requirements, they will be not eligible to receive CCDF funding. Utah does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility must have a complete CCL background check with no exceptions.

Citations: Child Care Licensing manual under DWS FFN Approval Requirements and License Exempt DWS Approval Requirements

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate sex offender registry or repository check for new (prospective) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

b) Has the interstate sex offender registry or repository check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

Utah does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility must have a complete CCL background check with no exceptions.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate sex offender registry or repository check for current (existing) child care staff including:

-- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs

-- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)

-- Key challenges to fully implementing this requirements

-- Strategies used to address these challenges

Describe:

5.4.8 Interstate Child Abuse and Neglect Check Registry Requirements (98.43 (b)(3)(iii)).

Note: This is a name-based search.

Effective Date: 10/01/2018

a) Has the interstate child abuse and neglect check been put in place for all new (prospective) child care staff?

Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

An annual search of the state-based child abuse and neglect registry and database in each state where the staff member resided during the previous five years for all covered individuals (owners, directors, caregivers, members of the governing body, employees, volunteers, volunteers except for the parent of the child, household members 12 years and older, and anyone who has unsupervised access with a child in care) is conducted as part of the initial and annual renewal of the background check.

Although direct access to other states' databases has not been possible, licensing staff contacts the states where the individual has resided during the past five years to attain this information.

These requirements apply to all licensed, regulated, or registered child care providers. There are rules and policies supporting these requirements. Providers not in compliance with these requirements will receive findings and sanctions if not in compliance. They can also be disqualified from receiving CCDF assistance and can eventually lose their license if correction does not take place.

Citations: Child Care Licensing Administrative Rules R381-100-8, R430-90-8, and

R430-50-8

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations

These requirements, policies and procedures also apply to all other providers eligible to deliver CCDF services. Although direct access to other states' databases has not been possible, licensing staff contacts the states where the individual has resided during the past five years to attain this information. If they are found out of compliance with these requirements, they will be not eligible to receive CCDF funding. Utah does not have separate policies for background checks. If the provider is willing to deliver CCDF services, they and all covered individuals in their facility must have a complete CCL background check with no exceptions.

Citations: DWS Administrative Rules R986-700-751 and R986-700-756

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate child abuse and neglect check for new (prospective) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g. license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

b) Has the interstate child abuse and neglect check been put in place for all current (existing) child care staff?

Yes

Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations.

Utah does not have separate policies for background checks. If the provider is willing

to deliver CCDF services, they and all covered individuals in their facility must have a complete CCL background check with no exceptions.

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Child Care Licensing Administrative Rules R381-100-8, same background checks rule requirement for all facility types.

No. (Waiver request allowed. See Appendix A). Describe the status of conducting the interstate child abuse and neglect check for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirements
- Strategies used to address these challenges

Describe:

Provisional Employment

The CCDF final rule states a child care provider must submit a request to the appropriate state/territory agency for a criminal background check for each child care staff member, including prospective staff members, prior to the date an individual becomes a child care staff member and at least once every 5 years thereafter (98.43(d)(1) and (2)). A prospective child care staff member may not begin work until one of the following results have been returned as satisfactory: either the FBI fingerprint check or the search of the state/territory criminal registry or repository using fingerprints in the state/territory where the staff member resides. The child care staff member must be supervised at all times pending completion of all the background check components (98.43(d)(4)).

Note: In recognition of the concerns and feedback OCC received related to the provisional hire provision of the CCDF final rule, OCC will allow states and territories to request time-limited waiver extensions for the provisional hire provision. State/territories may submit a waiver request to allow additional time to meet the requirements related to provisional hires (see Appendix A). A state/territory may receive a waiver from this requirement only when:

1. the state requires the provider to submit the background check requests before the staff person begins working; and
2. the staff member, pending the results of the elements of the background check, is supervised at all times by an individual who has completed the background check.

5.4.9 Describe the state/territory requirements related to prospective child care staff members using the checkboxes below. (Waiver request allowed. See Appendix A). Check all that apply.

Effective Date: 10/01/2018

- The state/territory allows prospective staff members to begin work on a provisional basis (if supervised at all times) after completing and receiving satisfactory results on either the FBI fingerprint check or a fingerprint check of the state/territory criminal registry or repository in the state where the child care staff member resides.

Describe and include a citation:

CCL will normally complete a background check within three business days after receiving a complete form, fingerprints and payment. The provider and the individual will receive the results of the check electronically on the provider's licensing portal and by email. If the individual passes the check, a background check card will be issued and sent to the individual. That card can be used to provide child care at any child care facility in Utah as long as the card remains active. However, when checking other states where the individual has resided within the past five years, it takes longer to complete the process.

CCL allows prospective staff members to begin work on a provisional basis (if supervised at all times by an adult who has successfully passed a CCL background check) after completing and receiving passing results on either the FBI fingerprint check or the fingerprint check of the Utah criminal registry. When this is the case, the status of the covered individual in the Licensing Provider Portal will be displayed as "Temporary Passed".

DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1 Child Care Settings.

Child Care Licensing Administrative Rules R381-100-8, same background checks rule requirement for all facility types.

- The state/territory allows prospective staff members to begin work on a provisional basis (if supervised at all times) after the request has been submitted, but before receiving satisfactory results on either the FBI fingerprint check or a fingerprint check of the state/territory criminal registry or repository in the state where the child care staff member resides. Note: A waiver request is allowed for this provision (see Appendix A).

Describe and include a citation:

- Other.

Describe:

5.4.10 The state/territory must conduct the background checks as quickly as possible and shall not exceed 45 days after the child care provider submitted the request. The state/territory shall provide the results of the background check in a statement that indicates whether the staff member is eligible or ineligible, without revealing specific disqualifying information. If the staff member is ineligible, the state/territory will provide information about each disqualifying crime to the staff member.

Effective Date: 10/01/2018

Describe the requirements, policies, and procedures in place to respond as expeditiously as possible to other states', territories', and tribes' requests for background check results to accommodate the 45-day timeframe, including any agencies/entities responsible for responding to requests from other states (98.43(a)(1)(iii)).

Background checks are normally completed within three days after the individual has submitted all required information and has paid all required fees. It takes longer to receive FBI results if the fingerprints are not readable since it is necessary to conduct a name-search check instead.

It takes longer to complete all the interstate checks when the contact information is not readily available. Child Care Licensing rules require the provider to not involve any individual with child care until they have received an answer from licensing that the individual has passed their background check. However, CCL allows prospective staff members to begin work on a provisional basis (if supervised at all times by an adult who has successfully passed a CCL background check) after completing and receiving

satisfactory results on either the FBI fingerprint check or a fingerprint check of the state/territory criminal registry or repository in the state where the child care staff member resides.

Utah also responds to requests from other states and territories searching for background information. CCL is able to provide a timely response stating if an individual passed or did not pass a background check to provide child care when the individual has been a child care provider in the state. When this is the case, CCL requests the name and date of birth of the individual to respond to the request at no charge. CCL only states that the individual passed or did not pass the CCL check and the date when that check was performed. No detailed information of the individual is given to the requesting state. CCL has developed a system in which all covered individuals are given an individual identification number. All background checks completed for each individual are recorded and safely kept in the CCL database.

If the individual has not been a child caregiver in Utah or they have not had a background check done by CCL, the requesting state will have to check Utah Department of Public Safety and Utah Division of Children and Family Services for all respective checks since CCL will not have that information in their database.

5.4.11 Child care staff members cannot be employed by a child care provider receiving CCDF subsidy funds if they refuse a background check, make materially false statements in connection with the background check, or are registered or required to be registered on the state or National Sex Offender Registry. Potential staff members also cannot be employed by a provider receiving CCDF funds if they have been convicted of: a felony consisting of murder, child abuse or neglect, crimes against children, spousal abuse, crimes involving rape or sexual assault, kidnapping, arson, physical assault or battery, or - subject to an individual review (at the state/territory's option)- a drug-related offense committed during the preceding 5 years; a violent misdemeanor committed as an adult against a child, including the following crimes - child abuse, child endangerment, or sexual assault; or a misdemeanor involving child pornography (98.43(c)(1)).

Note: The Lead Agency may not publicly release the results of individual background checks. It may release aggregated data by crime as long as the data do not include personally identifiable information (98.43(e)(2)(iii)).

Effective Date: 10/01/2018

Does the state/territory disqualify child care staff members based on their conviction for other crimes not specifically listed in 98.43(c)(i)?

No

Yes.

Describe other disqualifying crimes and provide citation:

Utah conducts background checks for all covered individuals 12 years old and older and all volunteers, except for the parent of the child if they volunteer. With a few exceptions, Utah also disqualifies child care staff members based on any felony. The following convictions regardless of their severity also disqualify an individual:

- cruelty to animals, including dogfighting;
- bestiality;
- lewdness, including lewdness involving a child;
- voyeurism;
- sales of firearms to juveniles;
- pornographic material or performance;
- sexual solicitation;
- prostitution and related crimes;
- any crime against a person;
- a sexual exploitation act;
- leaving a child unattended in a vehicle; and
- driving under the influence (DUI) while a child is present in the vehicle.

5.4.12 The state/territory has a process for a child care staff member to appeal the the results of his or her background check to challenge the accuracy or completeness of the criminal background report, as detailed in 98.43(e)(3).

Effective Date: 10/01/2018

Describe how the Lead Agency ensures the privacy of background checks and provides opportunities for applicants to appeal the results of background checks. In addition, describe whether the state/territory has a review process for individuals disqualified due to a felony drug offense to determine if that individual is still eligible for employment (98.43(e)(2-4)).

Information about covered individuals' background checks is kept confidential. Only authorized CCL employees who have passed a fingerprint-based background check can access this information. The CCL database that houses background check information has restricted access to its users. Users must have a specific authorized role approved by the program administrator to see this information. This information is also kept confidential from the public.

If a covered individual fails to pass a CC background check, CCL informs the individual and the caregiver in writing without disclosing any confidential information. The individual is given the CCL contact information so they can request additional information if needed. Utah's background check unit is trained to protect all confidential information and to not allow any unauthorized individual to have access.

Utah has a process for a child care staff member to appeal the results of their background check or to challenge the accuracy or completeness of the criminal background report. According to CCL rules, any decision made by CCL can be appealed. Providers and caregivers are informed in writing of their appeal rights. The appeal process is also made available to the public through the CCL website.

According to Child Care Licensing Administrative Rules, a covered individual shall not be denied if the only background finding is a conviction or plea of no contest to a nonviolent drug offense that occurred 10 or more years before the CCL background check was conducted. Additionally, CCL Administrative Rules allow for an authorized agency officer to overturn a background check denial when the authorized agency officer determines that the nature of the background finding or mitigating circumstances do not pose a risk to children.

5.4.13 The state/territory may not charge fees that exceed the actual costs of processing applications and administering a criminal background check (98.43(f)).

Effective Date: 10/01/2018

Describe how the state/territory ensures that fees charged for completing the background checks do not exceed the actual cost of processing and administration, regardless of whether they are conducted by the state/territory or a third-party vendor or contractor.

Lead Agencies can report that no fees are charged if applicable (98.43(f)).

Fees charged for the background check and fingerprints do not exceed the actual cost of processing and administration.

No fees for annual background checks are charged to FFN providers.

Fingerprint fees are charged to all provider types; however, those fees do not exceed the actual cost of processing and administration.

5.4.14 Federal requirements do not address background check requirements for relative providers who receive CCDF; therefore, states have the flexibility to decide which background check requirements relative providers must meet, as defined by CCDF in 98.2 under eligible child care provider.

Note: This exception only applies if the individual cares only for relative children. Does the state/territory exempt relatives from background checks?

Effective Date: 10/01/2018

- No, relatives are not exempt from background check requirements.
- Yes, relatives are exempt from all background check requirements.
- Yes, relatives are exempt from some background check requirements. If the state/territory exempts relatives from some background check requirements, describe which background check requirements do not apply to relative providers.

6 Recruit and Retain a Qualified and Effective Child Care Workforce

This section covers the state or territory framework for training, professional development, and post-secondary education (98.44(a)); provides a description of strategies used to strengthen the business practices of child care providers (98.16(z)); and addresses early learning and developmental guidelines.

States and territories are required to describe their framework for training, professional development, and post-secondary education for caregivers, teachers, and directors, including those working in school-age care (98.44(a)). This framework is part of a broader systematic approach building on health and safety training (as described in section 5) within a state/territory. States and territories must incorporate their knowledge and application of health and safety standards, early learning guidelines, responses to challenging behavior, and the engagement of families. States and territories are required to establish a progression of professional development opportunities to improve the knowledge and skills of CCDF providers (658E(c)(2)(G)). To the extent practicable, professional development should be appropriate to work with a population of children of different ages, English-language learners, children with disabilities, and Native Americans (98.44(b)(2)(iv)). Training and professional development is one of the options that states and territories have for investing their CCDF quality funds (658G(b)(1)).

6.1 Professional Development Framework

6.1.1 Each state or territory must describe their professional development framework for training, professional development, and post-secondary education for caregivers, teachers and directors, which is developed in consultation with the State Advisory Council on Early Childhood Education and Care or similar coordinating body. The framework should include these components: (1) professional standards and competencies, (2) career pathways, (3) advisory structures, (4) articulation, (5) workforce information, and (6) financing (98.44(a)(3)). Flexibility is provided on the strategies, breadth, and depth with which states and territories will develop and implement their framework.

Effective Date: 06/01/2019

a) Describe how the state/territory's framework for training and professional development addresses the following required elements:

-- State/territory professional standards and competencies. Describe:

The Lead Agency has established professional standards and competencies that it utilizes in its professional development system. There are standards and competencies for various age groups, including preschool-age children and infants and toddlers, as well as competencies for instructors and coaches.

The Utah Core Competencies for Early Care and Youth Education were published in 2008. The Core Competencies are based on research and best practice and have been disseminated throughout Utah to child care providers in multiple types of care settings. Utah's Core Competencies provide a continuum on which basic caregiver skills are developed first, with more complex skills built upon experience and training. Utah's professional development system aligns with the Core Competencies and provides the framework for the system as a whole. Courses submitted for approval in Utah's Career Ladder system must show evidence of addressing at least three Core Competencies in each proposed curriculum.

The Lead Agency also produced Career Ladder Instructor Competencies and Coaching Competencies for Utah's Early Childhood and Afterschool Workforce. These documents are required reading for all instructors and coaches working within Utah's professional development system. Instructors are observed annually using a rubric created from the Instructor Competencies. This observation determines annual professional development goals for each instructor.

Additionally, Utah adopted Minnesota's Early Childhood Indicators of Progress for Infant/Toddler standards to create Utah's Early Learning Guidelines: Birth to Age Three. Utah continues to use this document to guide technical assistance efforts in birth to three classrooms. Utah's Early Childhood Core Standards for children in pre-kindergarten settings was developed by the Utah State Board of Education with participation from the Lead Agency and was last revised in 2013. The Lead Agency created a companion document called Utah's School Readiness Standards: Age Three to Five which includes the same standards and strategies as the Core Standards, but is formatted for child care providers. The Core Standards document is currently under revision, with participation

from a committee including representatives from the Lead Agency, Utah State Board of Education, local educational agencies and Head Start programs.

-- Career pathways. Describe:

In 2017, the Lead Agency in collaboration with the Head Start Collaboration Director, undertook a mapping project that culminated in the development of a draft of a Utah Early Childhood Career Pathways document. The document outlines possible careers in early childhood across a variety of venues, including licensed child care (center and home-based), Head Start, public school, higher education, child care resource and referral agencies and state agencies. An accompanying document is in development to explain the job duties of each career. Additionally, suggested education levels for each career are listed.

In addition, Utah has a Career Ladder system that supports professional development of caregivers. Utah's Career Ladder system is under review to ensure that its levels align with the educational attainments that would allow providers to move into different positions on the Utah Early Childhood Career Pathways document.

-- Advisory structure. Describe:

The Lead Agency's Advisory Committee meets bi-monthly to receive updates and provide feedback regarding initiatives. The Advisory Committee consists of the following representatives: corporate community, public-at-large, family child care, center child care, small business, children with disabilities, Utah Private Child Care Association, Utah Association for the Education of Young Children, Utah Afterschool Network, Department of Human Services, Care About Childcare (child care resource and referral), Department of Health (Child Care Licensing), Utah State Board of Education, Utah Head Start Association, and child care advocacy (Voices for Utah Children).

The meeting is open to the public and is often attended by additional early childhood community members and child care directors. A subcommittee of this group, the Professional Development Subcommittee, meets bi-monthly to discuss professional development topics. The Subcommittee's regular attendees include representatives from higher education, Care About Childcare agencies, the Utah Afterschool Network, Child Care Licensing, the Utah Association for the Education of Young Children, and a local early childhood mental health program. Additional early childhood community members,

such as private child care providers and independent consultants also attend when schedules allow.

Any proposed changes to the framework of the professional development system are discussed in the subcommittee and must also be brought to the Advisory Committee. Proposals to edit or create professional development programs or policies may be presented to the Advisory Committee for approval. The Advisory Chair evaluates whether a proposal rises to the level of the Advisory Committee for comment. For projects or proposals in need of more attention than a bi-monthly meeting, workgroups may be created. The results of workgroups are presented to the Professional Development Subcommittee for discussion.

-- [Articulation. Describe:](#)

In 2018, the Lead Agency launched a pilot project through the professional development system using Early EdU Alliance curriculum to host online college-level courses in a partnership with the Utah Education Network. After successful completion of an Early EdU course, participants can apply to have their credit transcribed by Southern Utah University.

Efforts are currently in place to form an Articulation Workgroup with representatives from each higher education institution in the state to outline how Early EdU credits will be accepted at each institution, should a student decide to transfer their credit outside of Southern Utah University. For academic year 2018-2019, institutions of higher education were polled regarding which Early EdU courses they would accept, and whether the courses would be accepted as major or elective credit. This information has been compiled and provided to students enrolled in the Early EdU online courses.

Additionally, the Lead Agency is included on Utah Systems of Higher Education (USHE) Early Childhood Education emails and participated in conversations at the 2018 USHE ECE meeting regarding creating a statewide articulation agreement for CDAs. This work is ongoing. Previously, Salt Lake Community College, Weber State University and Utah State University have accepted CDAs for 6-9 college credits.

-- [Workforce information. Describe:](#)

The Utah Registry for Professional Development: Early Childhood and Youth Care

Workforce (URPD) collects and shares data on recruitment, retention, training hours and degrees earned. The Registry is linked to the Child Care Licensing program database, allowing data to be collected through both agencies. The Lead Agency has access to the Registry and can pull reports as well as request reports from URPD. Additionally the Lead Agency has utilized research resources within the Department of Workforce Services to obtain wage data.

-- Financing. Describe:

Utah's professional development system is funded through CCDF and TANF. TANF funds support professional development for those working with children ages 13 to 18. Funds are allocated to support Care About Childcare community training classes, CDA cohorts, Demonstrated Competency scholarships (including CDA scholarships), professional development incentives, professional development conferences, Early EdU college credits and TEACH associate degree scholarships.

b) The following are optional elements, or elements that should be implemented to the extent practicable, in the training and professional development framework.

Continuing education unit trainings and credit-bearing professional development to the extent practicable

Describe:

The Career Ladder system accepts any Early Childhood CEU through equivalence to clock hours; this helps providers who prefer to accomplish their training online to participate.

In spring 2018, the Lead Agency launched its first Early EdU cohort. Early EdU courses are online college-level courses hosted through the professional development system through a partnership with the Utah Education Network and Southern Utah University. Participants are selected through an application process and do not have to be formally admitted to a university to participate in the course.

The Lead Agency sees Early EdU as a stepping stone to get non-traditional students on a path to a college degree. At the end of each course, additional information is provided to participants regarding ECE degree programs and the career pathway in Utah. Work is currently underway to include information about the TEACH scholarship program.

- Engagement of training and professional development providers, including higher education, in aligning training and educational opportunities with the state/territory's framework

Describe:

Representatives from higher education and Care About Childcare agencies (host agencies of most Career Ladder face-to-face courses) participate on the Professional Development Subcommittee and participate in discussions regarding curriculum and policy changes that impact the professional development framework (Career Ladder). The professional development specialist hosts a monthly meeting with the Care About Childcare training coordinators (staff who schedule classes, prepare class materials and recruit, train and oversee local instructors) to discuss classes and implementation.

In Utah, instructors become Career Ladder approved through a sponsoring agency in collaboration with the Lead Agency and typically teach classes that have been previously approved for Career Ladder credit. If an approved instructor would like to teach a class that is not on the Career Ladder approval list, there is a process to apply for approval.

Classes are approved through an application and a rubric assessment that determines whether the content aligns with the competencies outlined in the Utah Core Competencies document. Lastly, the Career Ladder accepts early childhood college credits as equivalencies for clock hours. In these ways, the Lead Agency ensures that professional development providers teach courses that are aligned with the Career Ladder framework.

- Other

Describe:

6.1.2 Describe how the state/territory developed its professional development framework in consultation with the State Advisory Council on Early Childhood Education and Care (if applicable) or similar coordinating body if there is no SAC that addresses the professional development, training, and education of child care providers and staff.

The State Advisory Council, Early Childhood Utah, was created in 2011. Since that time, the

Lead Agency, Utah Registry for Professional Development and Child Care Licensing have worked collaboratively to build the professional development system in consultation with Early Childhood Utah. Specifically, a member of Early Childhood Utah has attended the Lead Agency's Professional Development Subcommittee. Similarly, a member of the Professional Development Subcommittee attends Early Childhood Utah meetings. When the State Advisory Council meets, the Lead Agency has a standing agenda item to present issues or updates, which can include information about professional development.

Effective Date: 10/01/2018

6.1.3 Describe how the framework improves the quality, diversity, stability, and retention of caregivers, teachers, and directors (98.44(a)(7)).

The Lead Agency uses funds to ensure that training courses developed by the Lead Agency and taught at Care About Childcare agencies (CAC) are kept affordable for providers. Many of the approved community training classes hosted by other agencies are free of cost. Additionally, CDA cohorts are run out of each of the six CAC agencies providing fully subsidized classes to those participating in a cohort. All providers working in licensed programs are also eligible to apply for a CDA scholarship to cover the cost of the CDA certificate; providers are also able to apply for a CDA renewal scholarship, which covers part of the cost for renewing a CDA. The Lead Agency also funds two college-credit programs: Early EdU and TEACH. Through Early EdU, participants can earn up to 9 college credits; the only cost to participants is a transcription fee from Southern Utah University of \$60-\$70 per class. TEACH scholarships for associate degrees are currently available through the Lead Agency to 20-24 students. For providers who have achieved a CDA or other Demonstrated Competency, but whose professional development plans do not include college, the Lead Agency offers Endorsement classes, which are series of courses with detailed information about one topic, such as Guidance and Emotional Wellness, Special Needs and School Readiness. Professional Development Incentives (PDIs) are available to eligible providers working in licensed child care facilities. Eligible providers may apply for a PDI at the completion of a level on the Career Ladder. The amount of a PDI increases based on the level achieved on the Career Ladder. Afterschool Professional Development Incentives (APDIs) are available annually to afterschool providers working in eligible programs. APDI

amounts increase based on level achieved. By subsidizing costs of training and offering a variety of training options, from entry-level CDA classes to college degrees, through both online and in-person classes, the Lead Agency is able to support providers of diverse backgrounds and positions (caregivers, teachers and directors) in achieving their personal professional development goals. Through the PDI and APDI systems, the Lead Agency rewards providers who increase their educational attainment and remain in the child care field.

Effective Date: 07/01/2019

6.2 Training and Professional Development Requirements

The Lead Agency must describe how its established health and safety requirements for pre-service or orientation training and ongoing professional development requirements--as described in Section 5 for caregivers, teachers, and directors in CCDF programs--align, to the extent practicable, with the state/territory professional development framework. These requirements must be designed to enable child care providers to promote the social, emotional, physical, and cognitive development of children and to improve the knowledge and skills of the child care workforce. Such requirements shall be applicable to child care providers caring for children receiving CCDF funds across the entire age span, from birth through age 12 (658E(c)(2)(G)). Ongoing training and professional development should be accessible and appropriate to the setting and age of the children served (98.44(b)(2)).

6.2.1 Describe how the state/territory incorporates the knowledge and application of its early learning and developmental guidelines (where applicable); its health and safety standards (as described in section 5); and social-emotional/behavioral and early childhood mental health intervention models, which can include positive behavior intervention and support models (as described in section 2) in the training and professional development framework (98.44(b)).

All Career Ladder courses offered by Care About Childcare agencies include a selection of topics from the Utah's Early Learning Guidelines: Birth to Three and Utah's Early Childhood Core Standards; best practices for health and safety in early childhood settings based on recommendations from Caring for Our Children; and social-emotional/behavioral health.

Additionally, there are courses that provide more in depth training in the above areas. Utah's Early Childhood Core Standards informed the development of the School Readiness curriculum; completion of all four courses earns a provider a School Readiness Endorsement for ages 3 through 5. Utah's Early Learning Guidelines: Birth to Three was used in the creation of the Infant Toddler Endorsement classes for providers working with children age birth to 3 years.

Through a partnership with the Lead Agency, trainings provided by the Child Care Licensing program that cover the health and safety standards are approved for Career Ladder credit. The Lead Agency ensures that providers have access to comprehensive training on social-emotional/behavioral health. The Guidance and Emotional Wellness Endorsement classes are informed by the Children's Social-Emotional Foundations of Early Learning (CSEFEL) Pyramid and include information about both caregiver emotional wellness as well as children's emotional wellness. Incorporation of information regarding Adverse Childhood Experiences and resiliency was included in the updated 2017 version of the class Working Together.

Effective Date: 10/01/2018

6.2.2 Describe how the state/territory's training and professional development are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF funds (as applicable) (98.44(b)(2)(vi)).

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

Effective Date: 10/01/2018

6.2.3 States/territories are required to facilitate participation of child care providers with limited English proficiency and disabilities in the subsidy system (98.16 (dd)). Describe how the state/territory will recruit and facilitate the participation of providers:

Effective Date: 10/01/2018

a) with limited English proficiency

Career Ladder courses taught at Care About Childcare (CAC) agencies are written at a target reading level of grade 5. Information is shared through both auditory and visual formats to help ensure comprehension. CAC agencies located in the urban areas of Utah offer training and technical assistance to providers in Spanish. At least one staff member in each of the urban CAC agencies speaks fluent Spanish and is available to assist providers by explaining processes to licensure and resources available at CACs and helping providers fill out forms or other needed documentation in English when needed.

All providers, regardless of the facility type, are required to take an online New Provider Training offered by Child Care Licensing through their website. Child Care Licensing offers the new provider orientation in English and Spanish. Child Care Licensing is aware of the services for Spanish speaking individuals and refers them to the CAC agency for assistance when needed. The Child Care Licensing program also facilitates providers' understanding of licensing rules by using pictorial representations when working with English Language Learners.

Spanish providers are recruited by word of mouth from other providers and advertisement of CAC resource nights offered in Spanish where providers are welcomed to CACs to learn about the resources they offer and to connect with the professional development system.

Additionally, courses are offered through the CAC agencies in Spanish to aid new providers or those interested in becoming licensed. These include the Basic Child Care class, Babysitter to Business Owner, Exploring Creative Curriculum, Family Child Care, Course 4, (this course includes information on contracts, agreements, taxes and other business related topics) and all Career Ladder Level 1 courses.

Lastly, some material on the Care About Childcare website is available in Spanish. While not all Career Ladder classes taught at CAC agencies have been fully translated to Spanish, many of the handouts and materials used in English-language classes have been translated so that Spanish speaking providers may participate in an English-language class. In one urban CAC, CDA cohorts are also taught fully in Spanish, which allows providers to accumulate 120 hours of training. In one urban CAC agency, there is a refugee liaison who assists all refugees in navigating child care procedures. Additionally, there is a child care facility at the Utah Refugee Education and Training Center which teaches refugees how to work in child care positions.

b) who have disabilities

Persons with disabilities may call their CAC agency to request reasonable accommodations to facilitate their participation in trainings. Persons with disabilities who have difficulty attending in-person Career Ladder classes may take all of their coursework online through accredited CEUs or through approved online training courses or entities. The list of approved online Career Ladder courses is updated routinely to ensure a wide variety of classes are offered.

6.2.4 Describe how the state/territory's training and professional development requirements are appropriate, to the extent practicable, for child care providers who care for children receiving child care subsidies, including children of different age groups (such as specialized credentials for providers who care for infants and/or school-age children); English-language learners; children with developmental delays and disabilities; and Native Americans, including Indians and Native Hawaiians (98.44(b)(2)(iii--iv)).

The professional development system provides extensive training to target special developmental needs. This includes specific training based on ages of children and special needs of children not developing typically. The Lead Agency has contracted with six CAC Agencies to provide these trainings and offer specialized endorsements in the following areas: Infant/Toddler (children ages birth to three years old), School Readiness (children ages three to five years old), and School Age children (kindergarten through 12 years old).

Additionally, there is a Special Needs Endorsement available to provide in-depth information

to providers to serve children with special needs effectively. The professional development system also offers Touchpoints courses, based on the work of T. Berry Brazelton. These courses encompass the stages of child development, birth to age six, and a comprehensive approach of collaborating with families in a shared partnership. Additional training is available to providers to help them understand how to provide culturally responsive care to children. Course content also includes how to work with parents in a manner that honors and respects their families' cultures. The updated 2017 curriculum for Working Together also includes a section about unconscious bias. There is some information regarding working with children who are English language learners and parents who are learning English as well.

The present curriculums do not contain information specific to working with Tribal children, although the CAC Agencies in the service delivery areas that contain Tribal reservations do advertise to providers that work with Tribal children. In order to address these training needs, the Lead Agency has leveraged existing resources, including expanding Career Ladder approved online training opportunities; CEUs are also approved. Online trainings and online training entities are approved through rubrics to ensure that content aligns with Utah's Core Competencies, Early Learning Guidelines and Core Standards. Through approved online professional development, caregivers can take courses to expand their knowledge of working with ELL and Tribal children.

Effective Date: 10/01/2018

6.2.5 The Lead Agency must provide training and technical assistance to providers and appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (658E(c)(3)(B)(i)).

Effective Date: 10/01/2018

a) Describe the state/territory's training and TA efforts for providers in identifying and serving homeless children and their families (relates to question 3.2.2).

The Lead Agency contracts with the Child Care Licensing program to verify that all required training is completed each year by every provider. Training regarding identifying and serving

children and families experiencing homelessness is one of the required topics Child Care Licensing verifies.

As technical assistance, and at the request of providers, the Lead Agency has created an informational one-sheet document programs and providers can use to meet this requirement. The document defines homelessness and identifies special needs, issues and behaviors that may be exhibited by children without a stable place to live and how to work with them effectively in a responsive and supportive manner. Additionally, the document includes information on how providers can recognize signs of homelessness and how to identify children and families that may be experiencing homelessness or may lose their homes. Lastly, the document provides a list of community resources that provides services to homeless families to which providers may be able to refer families.

[b\) Describe the state/territory's training and TA efforts for Lead Agency \(or designated entity\) staff in identifying and serving children and their families experiencing homelessness \(connects to question 3.2.2\).](#)

Within the Lead Agency, the Eligibility Services Division and Workforce Development Division include training on identifying and serving homeless children and their families in their new employee training for staff who will be working with these families. This training includes details regarding how to connect families with child care services. If the policy or process for working with these families changes, all incumbent staff working with these families are provided with training on the changes through the established monthly training process.

Where the population and need is high enough in more urban locations throughout the state, the Lead Agency has employment counselors stationed onsite at various homeless shelters to increase the access to programs and better connect families to resources. Staff at these onsite locations receive the above mentioned new employee training as well as Family Focus training, which includes information on motivational interviewing and trauma informed care. In addition to regular core training, the homeless support team in Salt Lake County that has ten staff at eight shelter and housing sites receives quarterly training specific to homeless topics. These topics include health and safety, de-escalation, program and resource training of other homeless service providers and how to refer to families to these services.

6.2.6 States and territories are required to describe effective internal controls that are in place to ensure program integrity and accountability (98.68(a)). Describe how the state/territory ensures that all providers for children receiving CCDF funds are informed and trained regarding CCDF requirements and integrity (98.68(a)(3)). Check all that apply

Effective Date: 05/08/2020

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

Describe the type of check-ins, including the frequency.

- Other

Describe:

The Lead Agency, through its partnership with the Child Care Licensing program, ensures that all providers participate in required CCDF annual training topics and pre-service orientation training. The Child Care Licensing Program licensors check pre-service training for all FFN and CCDF eligible providers at every annual announced and unannounced inspection. For all providers, Child Care Licensing Program licensors check ongoing training at every annual announced inspection. In the event a provider is out of compliance, Child Care Licensing may issue a finding and provide technical assistance to ensure the provider becomes compliant with CCDF requirements. If a provider has their license revoked, Child Care Licensing reports this to the Lead Agency.

Additionally, it is a program integrity and accountability requirement in order to receive a subsidy, to sign the most current Provider Guide at the initial licensing inspection. Providers must also agree to the terms and conditions when substantial changes are made to the Provider Guide or future subsidy payments may be withheld. The Provider Guide includes program information and provider responsibilities for participation in the

subsidy program, which includes program integrity topics. Child Care Licensing maintains an electronic copy of the signature page in their database. When the Lead Agency makes administrative rule changes to the subsidy program that impact providers, providers are given notice. Providers are educated about changes in provider responsibilities or practices through webinars. The webinars are recorded and posted online for providers to view at their convenience. The Provider Guide is updated when changes occur. A copy of the Provider Guide is available online at <https://jobs.utah.gov/occ/provider/ccproviderguide.pdf>.

Additionally, providers are required to log in to the DWS Provider Portal at least monthly to review children in care and report changes such as a child no longer in care. Licensed providers are required to certify monthly in the portal that all cases have been reviewed and known changes have been reported. The DWS Provider Portal also includes an area with Frequently Asked Questions. Topics include program integrity topics such as how to report changes, preventing overpayments, and links to Administrative Rules and the Provider Guide.

6.2.7 Lead Agencies must develop and implement strategies to strengthen the business practices of child care providers to expand the supply and to improve the quality of child care services (98.16 (z)). Describe the state/territory's strategies to strengthen provider's business practices, which can include training and/or TA efforts.

Effective Date: 10/01/2018

a) Describe the strategies that the state/territory is developing and implementing for training and TA.

The Lead Agency ensures training related to child care program management and providers' business practices is accessible through the CAC Agencies. Creating Good Child Care is the most basic course that covers topics such as forms, maintaining records, developing program philosophy and mission statements, legal protection and insurance, American Disabilities Act, reporting requirements for abuse and neglect, and custody issues.

Course 4 of the Family Child Care Endorsement includes content for family providers

regarding ethics and professionalism, contracts and policies, record keeping, taxes and marketing.

For center administrators, four 10-hour classes make up the 40-hour Director's Toolbox Endorsement. Content includes much more in depth information on contracts and policies and procedures, recordkeeping, budgeting, leadership, hiring, developing and retaining qualified staff, conflict resolution and how to effectively communicate in both writing and verbally. Utah supports administrators who wish to obtain the National Administrator's Credential. This is a 40-hour course specific to effective program management offered through the National Early Childhood Program Accreditation organization.

If an administrator chooses to take the NAC class, a scholarship for \$150 is available for reimbursement of the payment of the fees. This course may also be used to increase one level on the Career Ladder. Technical Assistance for both family providers and center directors regarding business practices is available through the CAC Agencies statewide, should it be requested by a provider.

Additionally, the Lead Agency connected with the National Center on Early Childhood Quality Assurance (NCECQA) to participate in a pilot in spring 2018 of their suite of business management courses, which includes sessions on fiscal management, staff recruitment and retention and marketing. Under direction from the Lead Agency, the statewide Care About Childcare agencies taught these courses and provided feedback to NCECQA regarding finalization of the curriculum.

b) Check the topics addressed in the state/territory's strategies. Check all that apply.

- Fiscal management
- Budgeting
- Recordkeeping
- Hiring, developing, and retaining qualified staff
- Risk management
- Community relationships
- Marketing and public relations

Parent-provider communications, including who delivers the training, education, and/or technical assistance

Other

Describe:

The Lead Agency is exploring the strategy of shared services to assist child care programs with business expenses and use shared services as a strategy to offset costs. In March 2018 Lead Agency representatives attended a conference led by Opportunities Exchange to better understand how to implement shared services in the state and is currently working with a workgroup of family child care and center providers, CAC representatives, Head Start representatives and a local child advocacy group to build the initial infrastructure.

6.3 Early Learning and Developmental Guidelines

6.3.1 States and territories are required to develop, maintain, or implement early learning and developmental guidelines that are appropriate for children in a forward progression from birth to kindergarten entry (i.e., birth-to-three, three-to-five, birth-to-five), describing what children should know and be able to do and covering the essential domains of early childhood development. These early learning and developmental guidelines are to be used statewide and territory-wide by child care providers and in the development and implementation of training and professional development (658E(c)(2)(T)). The required essential domains for these guidelines are cognition, including language arts and mathematics; social, emotional, and physical development; and approaches toward learning (98.15(a)(9)). At the option of the state/territory, early learning and developmental guidelines for out-of-school time may be developed. Note: States and territories may use the quality set-aside, discussed in section 7, to improve on the development or implementation of early learning and developmental guidelines.

Effective Date: 10/01/2018

a) Describe how the state/territory's early learning and developmental guidelines are research-based, developmentally appropriate, culturally and linguistically appropriate, and aligned with kindergarten entry

The 2013 edition (currently used statewide) of the Utah Early Childhood Core Standards were written and reviewed by local early childhood experts and includes two pages of

references regarding research and best practices. Utah's Early Learning Guidelines: Birth to Age Three were adopted from Minnesota's Early Childhood Indicators of Progress, which were sourced from The National Infant and Toddler Child Care Initiative, ensuring that they are developmentally appropriate. In the past year, the Utah State Board of Education released a statewide Kindergarten Entry-Exit Profile (KEEP) assessment. The KEEP was created by referring to the Core Standards and aligning each question with a specific math or literacy standard; the standards are listed at the top of each question for reference.

b) Describe how the state/territory's early learning and developmental guidelines are appropriate for all children from birth to kindergarten entry.

Utah's Early Learning Guidelines: Birth to Age Three is organized by developmental domain: Social and Emotional Development, Language Development and Communication, Cognitive Development and Physical and Motor Development. Each domain consists of developmental guidelines for young infants (birth to 8 months), older infants (8 months to 18 months) and toddlers (18 months to 36 months). Suggestions within each domain are research-based and developmentally appropriate (sourced from The National Infant and Toddler Child Care Initiative), while emphasizing that children develop at different rates. Utah's Early Childhood Core Standards begin at age three and move through the end of Kindergarten. Skills are vertically aligned and divided into guidelines for Preschool Foundational Standards (ages 3-4), Kindergarten Readiness Standards (ages 4-5) and End of Kindergarten (5-6+). The Core Standards include multiple pages of references regarding sources used to ensure the guidelines are appropriate. Using both resources, a provider can monitor the developmental progress of any child from birth to kindergarten entry.

c) Verify by checking the domains included in the state/territory's early learning and developmental guidelines. Responses for "other" is optional

- Cognition, including language arts and mathematics
- Social development
- Emotional development
- Physical development
- Approaches toward learning

Other

Describe:

Science and Creative Arts are also included in the Core Standards.

d) Describe how the state/territory's early learning and developmental guidelines are implemented in consultation with the educational agency and the State Advisory Council or similar coordinating body.

Working in conjunction with the Utah State Board of Education (USBE), the Lead Agency ensures that the Early Learning Guidelines and Core Standards are disseminated statewide across systems and many child care program types. In particular, the Lead Agency distributes copies of both during professional development courses and most of the in-person courses taught at Care About Childcare (CAC) agencies used the Early Learning Guidelines and Core Standards to guide the development of the course content. The Lead Agency is on the agenda for the SAC and is able to report and discuss implementation of the Early Learning Guidelines and Core Standards as needed.

e) Describe how the state/territory's early learning and developmental guidelines are updated and include the date first issued and/or the frequency of updates

Revisions to Utah's Early Childhood Core Standards are led by the Utah State Board of Education (USBE) and typically follow a revision cycle that mirrors revisions to the K-12 Utah Core Standards. The Core Standards may be updated upon recommendation by the Board based on recommendations from staff content area specialists, requests from parents or other stakeholders, when significant new knowledge is available in a content area or through any other criteria brought forth by a member of the Board. The Board announces a revision of the standards at a Board meeting, after which staff will request the formation of a standards review committee (SRC) from the Speaker of the House, the President of the Senate and the Board Chair. The SRC makes initial recommendations regarding areas of revision and presents to the Board during a board meeting. Afterward, staff organizes a writing committee comprising experts in each of the content areas. USBE staff present a draft of content standards to the Board during a Board meeting after which the standards are released for 90 days of public input. Public input is incorporated and final standards are submitted to Board committee and the full Board for final adoption. Utah's Early Childhood Core Standards were first published in March 2012; the first revision occurred in February 2013 to include strategies and activities to accompany the standards. At the same time, the Lead Agency produced a companion

document called Utah's School Readiness Standards: Age Three to Five that includes the same standards as the Core Standards, but with different formatting. The second revision of Utah's Early Childhood Core Standards is currently underway, following the above-mentioned process. Representatives from the Lead Agency are members of the current writing committee. Revisions to Utah's Early Learning Guidelines: Birth to Age Three are headed by the Lead Agency and undertaken as needed, either when significant changes to the Core Standards occur that warrant changes to the Early Learning Guidelines or when research and best practices indicate a need.

f) If applicable, discuss the state process for the adoption, implementation and continued improvement of state out-of-school time standards

The Lead Agency's partner, the Utah Afterschool Network, has adopted the National Afterschool Association's Core Knowledge and Competencies for Afterschool and Youth Development Professionals. This document is used to guide technical assistance in afterschool programs. Additionally, the Core Knowledge and Competencies for Afterschool and Youth Development Professionals is incorporated in the Career Ladder class, School Age.

g) Provide the Web link to the state/territory's early learning and developmental guidelines.

Utah's Early Learning Guidelines: Birth to Age Three:

https://jobs.utah.gov/occ/provider/early_childhood.pdf

Utah's School Readiness Standards: Age Three to Five:

<https://jobs.utah.gov/occ/utahguideage3to5.pdf>

Utah's Early Childhood Core Standards:

<https://www.schools.utah.gov/file/867f3f1b-c233-497a-bd45-e31dc4581327>

6.3.2 CCDF funds cannot be used to develop or implement an assessment for children that:

-- Will be the primary or sole basis to determine a child care provider ineligible to participate in the CCDF,

-- Will be used as the primary or sole basis to provide a reward or sanction for an individual

provider,

-- Will be used as the primary or sole method for assessing program effectiveness,

-- Will be used to deny children eligibility to participate in the CCDF (658E(c)(2)(T)(ii)(I); 98.15(a)(2)).

Describe how the state/territory's early learning and developmental guidelines are used.

Utah's Early Learning Guidelines: Birth to Age Three and Utah's Early Childhood Core Standards are both used within the Lead Agency's quality improvement system through coaching, grants and professional development. In certain endorsement courses, the Early Learning Guidelines and Core Standards are embedded in the curriculum; for example, providers use the information within the guidelines to participate in class activities. The Early Learning Guidelines are distributed to providers in the Lead Agency's informational packets that are taken to conferences and information nights around the state. The statewide Care About Childcare agencies also distribute the Early Learning Guidelines and Core Standards to providers during resource nights. Both the Early Learning Guidelines and the Core Standards are used to inform providers about developmental stages and to help providers incorporate best practices for each age group into their programs by using the "suggested activities" that accompany each guideline or standard.

Effective Date: 10/01/2018

7 Support Continuous Quality Improvement

Lead Agencies are required to reserve and use a portion of their Child Care and Development Fund program expenditures for activities designed to improve the quality of child care services and to increase parental options for and access to high-quality child care (98.53). The quality activities should be aligned with a statewide or territory-wide assessment of the state's or territory's need to carry out such services and care. States and territories are required to report on these quality improvement investments through CCDF in three ways:

1. In the Plan, states and territories will describe the types of activities supported by quality investments over the 3-year period (658G(b); 98.16(j)).

2. ACF will collect annual data on how much CCDF funding is spent on quality activities using the expenditure report (ACF-696). This report will be used to determine compliance with the required quality and infant and toddler spending requirements (658G(d)(1); 98.53(f)).

3. For each year of the Plan period, states and territories will submit a separate annual Quality Progress Report that will include a description of activities to be funded by quality expenditures and the measures used by the state/territory to evaluate its progress in improving the quality of child care programs and services within the state/territory (658G(d); 98.53(f)).

States and territories must fund efforts in at least one of the following 10 activities:

- Supporting the training and professional development of the child care workforce
- Improving on the development or implementation of early learning and developmental guidelines
- Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services
- Improving the supply and quality of child care programs and services for infants and toddlers
- Establishing or expanding a statewide system of child care resource and referral services
- Supporting compliance with state/territory requirements for licensing, inspection, monitoring, training, and health and safety (as described in section 5)
- Evaluating the quality of child care programs in the state/territory, including evaluating how programs positively impact children
- Supporting providers in the voluntary pursuit of accreditation
- Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development
- Performing other activities to improve the quality of child care services, as long as outcome measures relating to improved provider preparedness, child safety, child well-being, or kindergarten entry are possible.

Throughout this Plan, states and territories will describe the types of quality improvement activities where CCDF investments are being made, including but not limited to, quality set-aside funds and will describe the measurable indicators of progress used to evaluate

state/territory progress in improving the quality of child care services for each expenditure (98.53(f)) These activities can benefit infants and toddlers through school age populations.

This section covers the quality activities needs assessment and quality improvement activities and indicators of progress for each of the activities undertaken in the state or territory.

7.1 Quality Activities Needs Assessment for Child Care Services

7.1.1 Lead Agencies must invest in quality activities based on an assessment of the state/territory's needs to carry out those activities. Lead Agencies have the flexibility to design an assessment of their quality activities that best meet their needs, including how often they do the assessment. Describe your state/territory assessment process, including the frequency of assessment (658G(a)(1); 98.53(a)).

The Lead Agency utilizes a number of different approaches to assess where to invest quality dollars. Quality activities are prioritized based on community feedback and data from a number of sources. The CAC database allows the Lead Agency to review data on a monthly basis and provides information utilized in decision making. Examples of this include the educational level of providers, program vacancies, what programs are caring for the largest percentages of children receiving subsidy and other valuable data.

As a result of the CCDF requirement to determine prioritization of quality expenditures through the use of needs assessments, the Lead Agency recently conducted several assessments. These assessments were conducted in 2016 and 2017.

The following assessments are utilized to prioritize activities to improve the quality of Utah's child care system:

The Utah Early Childhood Services Study: In 2017, the Utah Legislature required the Lead Agency to produce a comprehensive report analyzing Utah's early childhood system. This report contained an analysis of several early childhood programs, needs of Utah's early childhood population and data gaps. Analysis included Utah's child care system. Although the Lead Agency was required to produce this report once, Early Childhood Utah will use this

report to produce an updated assessment annually.

The 2016-2017 Utah Parental Child Care Survey: The Lead Agency contracted with the University of Utah to complete a survey of parents around the state to determine current need for child care services. The analysis included responses from 1,354 parents and was completed in June 2017. This study examined child care needs for parents in our most populated region along the Wasatch Front, in rural areas of the state and specific needs for parents with infants and toddlers. Data from this report has been used to make decisions regarding where to invest funds for supply building, policies regarding subsidy and evaluating methods parents use in selecting child care providers. At this time, the Lead Agency does not intend to reproduce the survey.

Utah's Annual Report on Intergenerational Poverty: Since 2012, as required by Utah's Intergenerational Poverty Mitigation Act, the Lead Agency is required to produce a report evaluating the barriers and challenges confronting children experiencing intergenerational poverty. The annual report contains several data indicators across the education, human services, health, juvenile justice and workforce development systems. The extensive data is used by the Lead Agency to evaluate whether children covered by subsidy are in programs moving toward higher quality; educational attainment of child care providers; providers in high poverty areas working toward quality; children experiencing poverty participating in preschool; and targeting quality improvement grants to communities with high rates of children experiencing intergenerational poverty. The report focuses on four primary areas which include (1) Early Childhood Development; (2) Education; (3) Family and Economic Stability; and (4) Health.

Effective Date: 10/01/2018

7.1.2 Describe the findings of the assessment and if any overarching goals for quality improvement were identified.

The Parental Child Care Survey reflected that a number of parents do not choose to work because they are concerned about the quality of child care in their area. It also demonstrated that many parents are not choosing to work because of the cost of child care. The IGP

Report reveals that education levels of early childhood professionals are low. Additionally, more than half of programs that care for children receiving subsidy were not participating in the Quality Indicators Grant opportunity through CAC.

Effective Date: 10/01/2018

7.2 Use of Quality Funds

7.2.1 Check the quality improvement activities in which the state/territory is investing

Effective Date: 10/01/2018

- Supporting the training and professional development of the child care workforce. If checked, respond to section 7.3 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

The Utah State Legislature appropriated \$500,000 in general fund to be utilized to support early childhood educators in all sectors to complete their CDA. The funding for the program will end June 30, 2019.

- Developing, maintaining, or implementing early learning and developmental guidelines. If checked, respond to section 6.3 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

- Developing, implementing, or enhancing a tiered quality rating and improvement system. If checked, respond to 7.4 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Improving the supply and quality of child care services for infants and toddlers. If checked, respond to 7.5 and indicate which funds will be used for this activity. Check all that apply

CCDF funds

Other funds

Describe:

Establishing or expanding a statewide system of CCR&R services, as discussed in 1.7. If checked, respond to 7.6 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Facilitating compliance with state/territory requirements for inspection, monitoring, training, and health and safety standards (as described in section 5). If checked, respond to 7.7 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Evaluating and assessing the quality and effectiveness of child care services within the state/territory. If checked, respond to 7.8 and indicate which funds will be used for this activity. Check all that apply.

CCDF funds

Other funds

Describe:

Supporting accreditation. If checked, respond to 7.9 and indicate which funds will be used for this activity. Check all that apply.

- CCDF funds
- Other funds

Describe:

- Supporting state/territory or local efforts to develop high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development. If checked, respond to 7.10 and indicate which funds will be used for this activity. Check all that apply.

- CCDF funds
- Other funds

Describe:

- Other activities determined by the state/territory to improve the quality of child care services and which measurement of outcomes related to improved provider preparedness, child safety, child well-being, or kindergarten entry is possible. If checked, respond to 7.11 and indicate which funds will be used for this activity. Check all that apply

- CCDF funds
- Other funds

Describe:

7.3 Supporting Training and Professional Development of the Child Care Workforce With CCDF Quality Funds

Lead Agencies can invest in the training, professional development, and post-secondary education of the child care workforce as part of a progression of professional development activities, such as those included at 98.44 in addition to the following (98.53(a)(1)).

7.3.1 Describe how the state/territory funds the training and professional development of the child care workforce

Effective Date: 06/01/2019

- a) Check and describe which content is included in training and professional

development activities and describe who or how an entity is funded to address this topic. Check all that apply.

- Promoting the social, emotional, physical, and cognitive development of children, including those efforts related to nutrition and physical activity, using scientifically based, developmentally appropriate, and age-appropriate strategies

Describe:

The Lead Agency contracts with six Care About Childcare (CAC) Agencies to provide professional development opportunities for the providers in their respective service delivery areas. Each agency uses contract funds to hire professional development coordinators and maintain a network of contracted instructors. Class curriculum provided to the CAC agencies are primarily created by the Lead Agency.

All CAC's provide multiple offerings for professional development in social, emotional, physical and cognitive development of children. Some classes are designed to promote development in specific age groups such as infant/toddler, preschool, school age, while other courses provide content addressing all children collectively. Nutrition and physical activity is the focus of a specialized training called TOP Star (Teaching Obesity Prevention in Childcare Settings). This curriculum was provided to the Lead Agency by the Utah Department of Health; in areas of the state where the local health department does not have the resources to host a sufficient amount of TOP Star classes themselves, CAC agencies deliver the training content and connect participants with the local health department to finish the endorsement procedures for their child care program.

All training offerings are research based and written to address all adult learning styles. Activities to illustrate concepts taught are embedded throughout each training session. Curriculums are reviewed on a rotating basis and updated to include the most current research and age appropriate strategies.

Additionally, the Lead Agency contracts with Utah Afterschool Network (UAN) to provide in-depth training to out-of-school time providers and afterschool programs. Training offerings are available in person and online and include in-depth information on relevant topics for children ages 6-18. UAN also hosts an annual conference as well as two regional conferences. All content is evidence-based, developmentally appropriate and includes age appropriate strategies. The Lead Agency funds the

training and professional development in the areas with a blend of CCDF, TANF, and state funding to assure quality training opportunities to this population.

- ☑ [Implementing behavior management strategies, including positive behavior interventions and support models that promote positive social-emotional development and early childhood mental health and that reduce challenging behaviors, including a reduction in expulsions of preschool-age children from birth to age five for such behaviors. \(See also section 2.5.\)](#)

[Describe:](#)

Professional development offerings that focus on implementing behavior management strategies, including positive behavior interventions and support models that promote positive social-emotional development and early childhood mental health, are embedded throughout the professional development system. Numerous Career Ladder courses contain content to help caregivers learn how to use positive guidance and effective behavior management strategies. Because the behavior management strategies used by adults directly effects the social and emotional development of the children in their care, these two topics are typically taught in tandem.

There are basic CDA courses that provide information on discipline strategies including developmentally appropriate expectations and practices, setting up the environment to prevent problems, the difference between punishment and guidance, how the development of the brain affects behavior, and other relevant topics. The 2017 rewrite of the class Working Together includes a section regarding Adverse Childhood Experiences (ACEs) and fostering resilience in children and families. There are also courses targeted to specific age groups such as birth through three, pre-school and school age children. These courses focus in depth on all of the above items to help caregivers develop skills most useful to the specific age groups with which they primarily work. In total, there are 65 hours of face-to-face courses taught by CAC agencies that speak specifically to social/emotional development and implementing behavior management strategies in a way that supports autonomy and healthy self-esteem.

Additionally, in response to a high volume of requests for more in depth information on handling challenging behaviors, the Lead Agency created Guidance and Emotional Wellness (GEW), a 40-hour endorsement course. These courses give higher level,

more in-depth information regarding children who exhibit more challenging behaviors than the typical child. The courses include the following: identifying issues; strategies to solve problems; sources of stress for providers and children that may make coping with typical daily experiences more challenging; and working collaboratively and respectfully with families when addressing events in which children exhibit challenging behaviors. In the GEW courses there is a great deal of information to help providers reflect upon and consider solutions, supports and other options to avoid child expulsion. The Lead Agency utilizes CCDF funds to assure these courses are taught at all CAC's and are also offered by The Children's Center as well.

In addition, the Utah Afterschool Network, through support by the Lead Agency, offers Behavior Management Institutes, intensive courses for providers working exclusively with school-age children. This is a six-hour class where providers come in teams from their respective organizations to learn strategies in managing children ages 6-18 years old. An Out-of-School Time (OST) specialist from the Utah Afterschool Network may use technical assistance and observation as a strategy to help participants implement what they have learned in class. A combination of CCDF and TANF funds are used to fund these trainings. Finally, the Lead Agency uses CCDF funds to contract with The Children's Center (TCC) to provide Early Childhood Mental Health Consultation services. The Children's Center staff work in classrooms where children are exhibiting challenging behaviors. TCC staff offer support, specialized training, modeling, coaching and additional resources to assure that child care providers have the skills to manage challenging behaviors.

Additionally, TCC specialists provide feedback to classroom staff and program directors after conducting observations. Based on the data from the observation, a plan is created that may include but not be limited to the following: modifying the environment, adjusting the schedule or individualizing for a specific child. One of the goals of these services is to help providers develop the skills necessary to manage children presenting more challenging behavior, thereby reducing the likelihood of suspension or expulsion. The Lead Agency utilizes CCDF for these services.

 [Engaging parents and families in culturally and linguistically appropriate ways to expand their knowledge, skills, and capacity to become meaningful partners in supporting their children's positive development](#)

Describe:

Courses focusing on parent engagement and supporting families in culturally and linguistically appropriate ways are available to caregivers statewide through the CAC network. At CDA level, the class *Working Together: Productive Relationships with Families* covers effective strategies for establishing and maintaining open and positive relationships with each child's family, supporting each child's relationship with his or her family, encouraging family involvement in the childcare program, effective communication strategies, community resources for families in crisis, and how to be aware of, and sensitive to, cultural differences.

Additionally, one course is targeted to caregivers working with families of children birth through three, and the special attention that is needed in communicating with families to meet the needs of non-verbal children as well as caring for them in a culturally sensitive manner. An entire 40-hour endorsement was created around T. Berry Brazelton's Touchpoints, and Touchpoints Approach in working with families. This class provides in-depth insight into working collaboratively with parents as partners, recognizing they are the experts on their own child(ren). It is a relationships-based, comprehensive course that provides many opportunities for self-reflection and helps providers consider different ways to view behaviors of parents and situations that occur that may be challenging. Many activities support positive communication strategies and guiding the providers in effective use of the Touchpoints' eight Guiding Principles.

Lastly, the 17-hour course, "Strengthening Families," contains information about protective factors and how to help build resilience in families through their relationships with their child care providers.

- [Implementing developmentally appropriate, culturally and linguistically responsive instruction, and evidence-based curricula and designing learning environments that are aligned with state/territory early learning and developmental standards.](#)

Describe:

Content regarding developmentally appropriate and responsive environments are embedded within a number of classes taught through the CAC Agencies. Basic training contains content on setting up the environment in a way that promotes optimal

development, is developmentally appropriate, includes materials that reflect the families and cultures of each child in the group, and promotes learning through hands on activities and materials that are stimulating and appropriate for the children in the group. Information taught is based on up-to-date research in the field. Specialized courses for specific age groups, such as infant/toddler, give detailed information in relation to the unique needs of children birth through three years of age.

Utah has adopted Minnesota's Early Childhood Indicators of Progress, which are embedded in the Infant Toddler Courses 1 through 4 (40 hours). For preschool-age children, Utah's Early Childhood Core Standards, developed by the Utah State Board of Education and the Office of Child Care, acknowledges developmentally appropriate practices informed by theory and literature. The School Readiness, Courses 1 through 4 (40 hours) are based on the Kindergarten Readiness core standards within the Early Childhood Core Standards. Course content is designed to support providers in understanding what skills children need to enter school ready to learn and provides examples of activities that can be carried out with children that support development in specific areas. Additional training is available to providers to help them understand how to provide culturally responsive care to children. Course content also includes how to work with parents in a manner that honors and respects their families' cultures. The updated 2017 curriculum for Working Together also includes a section about unconscious bias.

- [Providing onsite or accessible comprehensive services for children and developing community partnerships that promote families' access to services that support their children's learning and development](#)

Describe:

Session 4 of the curriculum Working Together, which is a CDA level course taught by CAC agencies statewide, includes a section in which the instructor of the course guides providers to the resources included on careaboutchildcare.utah.gov. These resources include information a community support section, with links to services such as the Department of Workforce Services (for employment and child care support); the Home Energy Assistance Target (HEAT) program; and the Women, Infants and Children (WIC) program; as well as child development resources such as Utah Act Early, Utah Baby Watch Early Intervention and the Utah Parent Center.

Lastly, there is a section regarding child health and safety, with information about the Utah Children's Health Insurance Plan, Utah Food Banks and the Utah Department of Health Oral Health Program. The class encourages participants to create a "resources library" including pamphlets and brochures about local and statewide resources to display prominently for parents. Other ideas include hosting informational nights for families regarding community resources.

Additionally, the class has information about navigating the local 2-1-1 services website, to help providers search for services by their location. The course also encourages providers to develop relationships with local resource divisions or entities, once identified by a 2-1-1 search.

Using data to guide program evaluation to ensure continuous improvement

Describe:

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

Describe:

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

Describe:

The Career Ladder has multiple curriculums with information regarding children with special needs and including them in programs. There are sections in level 2 and 3 classes that give information on the American Disabilities Act, individualizing, Individual Education Plans and working as a team with other professionals to meet children's needs.

Additionally, the Lead Agency has a Special Needs Endorsement that includes four, 10-hour courses focusing on the unique needs of children with special needs and their families. These classes have more detailed content regarding inclusion, understanding disabilities, recognizing all children's strengths and needs, individualizing for children, caring for children with special physical needs, setting up the environment for success and access, teaching techniques for children with special needs, Individual Education

Plans, and how to work with specialists or other individuals that support the child. In addition, there is a major focus on strategies of working with families of children with special needs and how to manage communication, collaboration and sensitivity to the unique needs of these families.

Supporting the positive development of school-age children

Describe:

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

Lastly, course 4 focuses on positive guidance techniques, trauma informed care and how to facilitate intensive intervention and refer families to community resources specifically for school age children, if needed.

Additionally, workshops and trainings focusing on the school-age population are provided by the Utah Afterschool Network a minimum of five times annually as well 72 hours of online training.

Other

Describe:

b) Check how the state/territory connects child care providers with available federal and state/territory financial aid or other resources to pursue post-secondary education relevant for the early childhood and school-age workforce. Check all that apply

Coaches, mentors, consultants, or other specialists available to support access to post-secondary training, including financial aid and academic counseling

Statewide or territory-wide, coordinated, and easily accessible clearinghouse (i.e., an online calendar, a listing of opportunities) of relevant post-

secondary education opportunities

Financial awards, such as scholarships, grants, loans, or reimbursement for expenses, from the state/territory to complete post-secondary education

Other

Describe:

The Lead Agency funds Early EdU, a collaborative effort between the Lead Agency, the Utah Education Network (UEN), the Utah State Board of Education (USBE), the Utah Head Start Association (UHSA), Southern Utah University (SUU) and the Early EdU Alliance. Through this project, the Lead Agency receives online college curriculum materials from the Early EdU Alliance, which are then hosted through UEN's Canvas online learning management system.

The Lead Agency uses CCDF funds to contract with an instructor to teach the course and a course overseer (a local higher education faculty member) to mentor and support the instructor. Through a long-standing agreement between UEN and SUU, the only cost to course participants is a \$60-\$70 transcription fee to SUU upon successful completion of the course. Through the Utah Early EdU Collaboration, participants can earn up to nine college credits, which are transferrable as SUU credit to other institutions of higher education statewide. Depending on the receiving institution, the credits transfer as major or elective credits.

7.3.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

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

classes in their work with children. The Utah Registry for Professional Development (URPD) reports all measures to the Lead Agency.

Effective Date: 10/01/2018

7.4 Quality Rating and Improvement System (QRIS)

Lead Agencies may respond in this section based on other systems of quality improvement, even if not called a QRIS, as long as the other quality improvement system contains the elements of a QRIS. QRIS refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs and contains five key elements:

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

7.4.1 Does your state/territory have a quality rating and improvement system or other system of quality improvement?

Effective Date: 10/01/2019

- No, but the state/territory is in the QRIS development phase. If no, skip to 7.5.1.
- No, the state/territory has no plans for QRIS development. If no, skip to 7.5.1.
- Yes, the state/territory has a QRIS operating statewide or territory-wide

Describe how the QRIS is administered (e.g., statewide or locally or through CCR&R entities) and any partners and provide a link, if available.

The Child Care Quality System (CCQS) for center-based programs began on October 1, 2019 with the release of the first certified quality ratings. The Lead Agency in conjunction with partners at the Department of Health, Child Care Licensing and regional CCRR's called Care About Childcare agencies administers CCQS statewide.

Information about the CCQS framework, ratings, and what to expect during a rating process can be found at <https://jobs.utah.gov/occ/provider/quality.html>. CCQS policy can be found at

https://jobs.utah.gov/infosource/occqs/index.htm#t=Office_of_Child_Care.htm.

- Yes, the state/territory has a QRIS initiative operating as a pilot-test in a few localities or only a few levels but does not have a fully operating initiative on a statewide or territory-wide basis.

Provide a link, if available. N/A

- Yes, the state/territory has another system of quality improvement

If the response is yes to any of the above, describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures.

7.4.2 QRIS participation

Effective Date: 10/01/2019

a) Are providers required to participate in the QRIS?

- Participation is voluntary
- Participation is mandatory for providers serving children receiving a subsidy. If checked, describe the relationship between QRIS participation and subsidy (e.g., minimum rating required, reimbursed at higher rates for achieving higher ratings, participation at any level).

The Child Care Quality System is mandatory for licensed center-based programs serving children receiving subsidy. Participation includes either receiving a default Foundation of Quality rating or receiving a certified quality rating for one of four ratings: Foundation of Quality, Building Quality, High Quality and High Quality Plus. Center-based programs that receive certified quality ratings of either High Quality or High Quality Plus are eligible to receive a monthly Enhanced Subsidy Grant, to be paid each month of their 12 month certified rating period. The Enhanced Subsidy Grant amount is based on the monthly average number of children whose care was

paid for through subsidy during the 12 month documentation period used to calculate the program's certified quality rating.

Participation is required for all providers.

b) Which types of settings or distinctive approaches to early childhood education and care participate in the state/territory's QRIS? Check all that apply

- Licensed child care centers
- Licensed family child care homes
- License-exempt providers
- Early Head Start programs
- Head Start programs
- State prekindergarten or preschool programs
- Local district-supported prekindergarten programs
- Programs serving infants and toddlers
- Programs serving school-age children
- Faith-based settings
- Tribally operated programs
- Other

Describe:

7.4.3 Support and assess the quality of child care providers.

The Lead Agency may invest in the development, implementation, or enhancement of a tiered quality rating and improvement system for child care providers and services. Note: If a Lead Agency decides to invest CCDF quality dollars in a QRIS, that agency can use the funding to assist in meeting consumer education requirements (98.33). If the Lead Agency has a QRIS, respond to questions 7.4.3 through 7.4.6.

Do the state/territory's quality improvement standards align with or have reciprocity with any of the following standards?

Effective Date: 10/01/2018

- No
- Yes. If yes, check the type of alignment, if any, between the state/territory's quality standards and other standards. Check all that apply.
 - Programs that meet state/territory preK standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, there is a reciprocal agreement between preK programs and the quality improvement system) .
 - Programs that meet federal Head Start Program Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, there is a reciprocal agreement between Head Start programs 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, an alternative pathway exists to meeting the standards).
 - Programs that meet all or part of state/territory school-age quality standards.
 - Other.

Describe:

7.4.4 Do the state/territory's quality standards build on its licensing requirements and other regulatory requirements?

Effective Date: 10/01/2018

- No
- Yes. If yes, check any links between the state/territory's quality standards and licensing requirements
 - Requires that a provider meet basic licensing requirements to qualify for the base level of the QRIS.
 - Embeds licensing into the QRIS
 - State/territory license is a "rated" license
 - Other.

Describe:

7.4.5 Does the state/territory provide financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services that are provided through the QRIS

Effective Date: 10/01/2019

No

Yes. If yes, check all that apply

One time grants, awards, or bonuses.

Ongoing or periodic quality stipends

Higher subsidy payments

Training or technical assistance related to QRIS.

Coaching/mentoring.

Scholarships, bonuses, or increased compensation for degrees/certificates

Materials and supplies

Priority access for other grants or programs

Tax credits (providers or parents)

Payment of fees (e.g., licensing, accreditation)

Other

Describe:

7.4.6 Describe the measurable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

The Lead Agency will identify and track the following measurable indicators:

(1) Changes in baseline observation scores compared to scores after program participation,

(2) Progress of professional development of the director,

(3) Staff participation in career ladder, and

(4) Increased overall points in CCQS framework.

Effective Date: 10/01/2018

7.5 Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers

Lead Agencies are encouraged to use the needs assessment to systematically review and improve the overall quality of care that infants and toddlers receive, the systems in place or needed to support and enhance the quality of infant and toddler providers, the capacity of the infant and toddler workforce to meet the unique needs of very young children, and the methods in place to increase the proportion of infants and toddlers in higher quality care, including any partnerships or coordination with Early Head Start and IDEA Part C programs. Lead Agencies are required to spend 3 percent of their total CCDF expenditures on activities to improve the supply and quality of their infant and toddler care. This is in addition to the general quality set-aside requirement.

7.5.1 What activities are being implemented by the state/territory to improve the supply (see also section 4) and quality of child care programs and services for infants and toddlers? Check all that apply and describe

Effective Date: 10/01/2019

- Establishing or expanding high-quality community- or neighborhood-based family and child development centers. These centers can serve as resources to child care providers to improve the quality of early childhood services for infants and toddlers from low-income families and to improve eligible child care providers' capacity to offer high-quality, age-appropriate care to infants and toddlers from low-income families

Describe:

On 07/01/2018, the Lead Agency launched a new family child care project state-wide that includes family child care networks in the six Care About Child Care service delivery areas.

- Establishing or expanding the operation of community- or neighborhood-based family child care networks.

Describe:

- Providing training and professional development to enhance child care providers' ability to provide developmentally appropriate services for infants and toddlers

Describe:

Through its partnership with Care About Childcare and other partnering agencies, the Lead Agency offers 40 hours of infant and toddler specific professional development. There are four ten-hour courses offered, which can be taken individually. When taken all together, the four courses make up the Infant and Toddler Endorsement. Topics addressed in the courses include: primary caregiving, appropriate group size, continuity of care, the physical environment, daily routines, respectful caregiving, cognitive and brain development, literacy and language development, and working effectively with families of infants and toddlers in a culturally sensitive manner. In addition, participants learn about the emotional and social development specific to infants and toddlers. Information about developmentally appropriate infant and toddler care is also woven throughout multiple other curriculums offered through Care About Childcare and other partnering agencies.

- Providing coaching, mentoring, and/or technical assistance on this age group's unique needs from statewide or territory-wide networks of qualified infant-toddler specialists

Describe:

The Lead Agency provides support to caregivers working in infant and toddler rooms participating in the CCQS. All programs participating in the CCQS receive some level of technical assistance from qualified infant and toddler specialists. Professional development specific to infant toddler care is available to providers. Providers may use support funds to pay course fees and staff wages to attend birth to three courses. The infant/toddler courses are specifically designed for caregivers working with children birth to three and are taught through local CAC agencies and other partnering agencies. The courses explore developmentally appropriate issues to be considered when providing infant and toddler care. The areas of focus for the training include the following: primary caregiving, appropriate group size, continuity of care, the physical environment, daily routines, and respectful caregiving. Other areas of focus include cognitive and brain development, literacy and language development, and working effectively with families of

infants and toddlers in a culturally sensitive manner. In addition, participants learn about the emotional and social development of infants and toddlers. Participants explore how infants and toddlers learn and positive ways to work with the families of the children in their care. These courses are available to all infant and toddler caregivers.

Additionally, the Lead Agency funds Family Child Care (FCC) Specialists through contracts with the six CAC Agencies. These individuals work in family child care homes to provide guidance and support to family providers with an emphasis on meeting the needs of the infants and toddlers in their care. This program currently utilizes the PICCOLO tool to evaluate current interactions between the provider and infants and toddlers and their caregivers. This program has similar characteristics to the Lead Agencies' birth to three grants but is specifically designed to meet the unique needs of children and especially infants and toddlers in a mixed age group setting. Quality improvement goals are created with the FCC Specialist and a variety of technical assistance and coaching strategies are utilized to provide support in a way that is meaningful in a family child care setting. The FCC Specialist also facilitates peer learning communities regularly to help the providers self-reflect, evaluate practices, learn from one another and consider how to meet the needs of their youngest children.

- Coordinating with early intervention specialists who provide services for infants and toddlers with disabilities under Part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.).

Describe:

- Developing infant and toddler components within the state/territory's QRIS, including classroom inventories and assessments

Describe:

Within Utah's Child Care Quality System's (CCQS) framework, there are infant and toddler components. Infant and toddler classrooms utilize inventories specific to the age of the children being served as well as assessments completed in classrooms where children under the age of three are cared for.

- Developing infant and toddler components within the state/territory's child care licensing regulations

Describe:

Currently, there are 21 licensing rules specific to infant and toddler care.

- Developing infant and toddler components within the early learning and developmental guidelines

Describe:

The Lead Agency developed and published Utah's Early Learning Guidelines: Birth to Age Three that are being used statewide. The CAC agencies provide training to providers regarding the guidelines and methods of effectively implementing the guidelines in programs. Technical Assistance and coaching staff also provide technical assistance on how to use the guidelines.

- Improving the ability of parents to access transparent and easy-to-understand consumer information about high-quality infant and toddler care that includes information on infant and toddler language, social-emotional, and both early literacy and numeracy cognitive development

Describe:

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

- Carrying out other activities determined by the state/territory to improve the quality of infant and toddler care provided within the state/territory and for which there is evidence that the activities will lead to improved infant and toddler health and safety, cognitive and physical development, and/or well-being

Describe:

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

- Coordinating with child care health consultants.

Describe:

Coordinating with mental health consultants.

Describe:

Other

Describe:

7.5.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services for infants and toddlers within the state/territory and the data on the extent to which the state or territory has met these measures

- (1) Number and percent of programs utilizing the Infant Toddler Environmental Rating Scale-Revised or 3 Edition (ITERS-R) (ITERS-3);
- (2) Among programs utilizing Infant Toddler Environment Rating Scale – Revised or 3 Edition (ITERS-R) (ITERS-3), the number and percentage improving on ITERS-R or ITERS-3;
- (3) Number and percent of programs receiving technical assistance from the Lead Agency's, Infant/Toddler Specialists;
- (4) Number of providers that complete 40 hours of Infant/Toddler training; and
- (5) Number of providers receiving Infant/Toddler CDA consultation and CDA credential.

For The Family Childcare Networks the outcomes to be tracked are the following:

- (1) Improve caregiver child interactions as measured by the PICCOLO tool.
- (2) Achievement of at least two goals identified as a result of professional development completed.
- (3) Use the Help Me Grow community resource to increase completion of ASQ and ASQSE screenings of enrolled children.
- (4) Successful implementation of one business practice not currently utilized.

Effective Date: 10/01/2018

7.6 Child Care Resource and Referral

A Lead Agency may expend funds to establish or expand a statewide system of child care resource and referral services (98.53(a)(5)). It can be coordinated, to the extent determined appropriate by the Lead Agency, by a statewide public or private non-profit, community-based, or regionally based lead child care resource and referral organization (658E(c)(3)(B)(iii)). This effort may include activities done by local or regional child care and resource referral agencies, as discussed in section 1.7.

7.6.1 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

The Lead Agency will evaluate measures within the following topics to determine its progress in improving the quality of child care programs through its CAC agencies:

- (1) Caregiver Professional Development;
- (2) Quality Improvement; and
- (3) Provider Recruitment and Retention.

The following describes the measures in each area:

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

Effective Date: 10/01/2018

7.7 Facilitating Compliance With State Standards

7.7.1 What strategies does your state/territory fund with CCDF quality funds to facilitate child care providers' compliance with state/territory requirements for inspection, monitoring, training, and health and safety and with state/territory licensing standards? Describe:

The Lead Agency contracts with Child Care Licensing (CCL) to inspect and monitor all providers and license-exempt programs receiving CCDF to ensure compliance with health and safety requirements. The Lead Agency funds several strategies to facilitate provider's compliance with standards for quality child care.

These strategies include the following:

- (1) Start-up grants for family providers to support them in becoming licensed;
- (2) Technical assistance through CCL to ensure programs comply with licensing;
- (3) Technical assistance and grants to refugee child care providers to become either Family, Friend and Neighbor providers or licensed providers;
- (4) On-the-job training at the Refugee Child Care Center at the Refugee Training Center at Salt Lake Community College; and

In addition, Lead Agency partners provide several courses that address state standards in child care. These courses include the following:

- (1) "Basics of Child Care," a free course addressing child care standards;
- (2) CCL Licensing Training for all providers; and
- (3) Technical assistance to address standards when providers contact the Care About Childcare agencies.

Effective Date: 10/01/2018

7.7.2 Does the state/territory provide financial assistance to support child care providers in complying with minimum health and safety requirements?

Effective Date: 10/01/2018

No

Yes. If yes, which types of providers can access this financial assistance?

Licensed CCDF providers

Licensed non-CCDF providers

License-exempt CCDF providers

Other

Describe:

The Lead Agency has purchased and placed fingerprinting machines in five of the CAC agencies. Providers may go to the office to have their fingerprinting completed free of charge. While this does not cover the costs of processing the prints, it does alleviate the cost of paying another entity to actually perform the service of completing the fingerprinting. In the Lead Agency's most rural CAC agency, rather than provide access to a fingerprinting machine located in the CAC office, providers may be reimbursed for their cost of fingerprinting. The local CAC agency serves many rural counties that are spread from the top of Utah to the bottom and not all providers are able to travel to one location to be fingerprinted. In addition, the Lead Agency provides grants to specific types of programs to help offset the costs associated with becoming licensed. These grants include Family Start-Up grants, Rural Outreach grants and Refugee Start-Up grants.

7.7.3 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

- (1) Number of new family providers that become licensed each year;
- (2) Number of TA visits from licensors to ensure programs comply with licensing standards;
- (3) Number of announced, unannounced and monitoring visits completed each year by

licensors;

- (4) Number of licensing visits triggered by a complaint;
- (5) Number and suspensions or revocations of licenses each year;
- (6) Among refugee child care providers receiving supportive services, the number and percent becoming FFN or licensed providers;
- (7) Number of refugees that complete the Refugee Child Care on-site training program;
- (8) Number of providers participating in the "Basics of Child Care," course; and
- (9) Number of providers participating in the Child Care Licensing training.

Effective Date: 10/01/2018

7.8 Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services

7.8.1 Describe how the state/territory measures the quality and effectiveness of child care programs and services in both child care centers and family child care homes currently being offered, including any tools used to measure child, family, teacher, classroom, or provider improvements, and how the state/territory evaluates how those tools positively impact children

The Lead Agency uses third-party evaluators and evidence-based assessment tools in many of its grant programs. First, the Lead Agency uses CCDF and TANF funds to contract with the Utah Education Policy Center at the University of Utah to evaluate afterschool grants to determine quality and effectiveness in improving outcomes for school age children. These evaluations include regular surveys of program participants, teachers and parents to evaluate whether the programs are meeting the goals of the grants, as specified by either state code or the grants themselves.

In addition to the program evaluations, the Lead Agency uses assessment tools in the Child Care Quality System. Specifically, the Lead Agency utilizes the Infant and Toddler Environmental Rating Scales-3 (ITERS-3), as well as the Early Childhood Environmental Rating Scales-3 (ECERS-3) to assess program quality. These assessments are conducted in

order to assign a rating to a program. Observations are completed yearly at participating programs.

Also, the Lead Agency uses quality funds for programs serving school age children in afterschool programs, including curriculum and equipment, summer and school year grants for different types of afterschool care providers. The Lead Agency and its contracted partner, The Utah Afterschool Network (UAN), provide technical assistance with up to five full-time Out of School Time (OST) Specialists. The Lead Agency and the OST Specialists use the School Age Program Quality Assessment (SAPQA) to measure quality improvement efforts, as well as develop a plan for improvement, mentoring, coaching and training.

Effective Date: 10/01/2019

7.8.2 Describe the measureable indicators of progress relevant to this use of funds that the State/Territory will use to evaluate its progress in improving the quality of child care programs and services in child care centers and family child care homes within the state/territory and the data on the extent to which the state or territory has met these measures

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

The measurements relevant for the CCQS are the assessment scores on both the ITERS-3

and ECERS-3 scores utilized to assign a program a rating. Observations are conducted yearly and the Lead Agency will compare scores from year to year to determine if programs are improving quality. The School Age Program Quality Assessment (SAPQA) is used to evaluate school age classrooms in private child care centers participating in CCQS. The SAPQA is an evidence-based, verified observation tool widely used in school-age programs. The Lead Agency began using the SAPQA in grant programs beginning July 2017. The Lead Agency continues to provide grants and contracts to out of school time programs. The SAPQA is used in all afterschool grant programs administered by the Lead Agency. The results of the SAPQA observation are used to inform technical assistance with UAN Out-of-School Time (OST) Specialists.

Effective Date: 10/01/2019

7.9 Accreditation Support

7.9.1 Does the state/territory support child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high quality?

Effective Date: 10/01/2018

- Yes, the state/territory has supports operating statewide or territory-wide for both child care centers and family child care homes

Describe the support efforts for all types of accreditation that the state/territory provides to child care centers and family child care homes to achieve accreditation

- Yes, the state/territory has supports operating statewide or territory-wide for child care centers only. Describe the support efforts for all types of accreditation that the state/territory provides to child care centers.

Describe:

- Yes, the state/territory has supports operating statewide or territory-wide for family child care homes only. Describe the support efforts for all types of accreditation

that the state/territory provides to family child care

Describe:

Yes, the state/territory has supports operating as a pilot-test or in a few localities but not statewide or territory-wide

Focused on child care centers

Describe:

Focused on family child care homes

Describe:

No, but the state/territory is in the accreditation development phase

Focused on child care centers

Describe:

Focused on family child care homes

Describe:

No, the state/territory has no plans for accreditation development

7.9.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

N/A

Effective Date: 10/01/2018

7.10 Program Standards

7.10.1 Describe how the state/territory supports state/territory or local efforts to develop or adopt high-quality program standards, including standards for infants and toddlers, preschoolers, and/or school-age children

N/A

Effective Date: 10/01/2018

7.10.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures

N/A

Effective Date: 10/01/2018

7.11 Early Learning and Development Guidelines and Other Quality Improvement Activities

7.11.1 If quality funds are used to develop, maintain, or implement early learning and development guidelines, describe the measureable indicators that will be used to evaluate the state/territory's progress in improving the quality of child care programs and services and the data on the extent to which the state/territory has met these measures (98.53(f)(3)).

The Utah State Board of Education (USBE) recently released a statewide kindergarten

readiness assessment called the Kindergarten Entry Exit Profile (KEEP) for school year 2017-2018; the KEEP reflects the standards in the Core Standards. In this initial roll out, USBE did not ask questions regarding prior educational settings. Starting in the 2018-2019 school year, USBE will ask parents of children taking the KEEP what type of educational setting their child has participated in prior to enrolling in kindergarten, if any. Through the KEEP data collected by USBE, the Lead Agency will have access to data needed to assess the implementation of the Early Learning Guidelines and Core Standards in child care programs.

Effective Date: 10/01/2018

7.11.2 List and describe any other activities that the state/territory provides to improve the quality of child care services for infants and toddlers, preschool-aged, and school-aged children, which may include consumer and provider education activities, and also describe the measureable indicators of progress for each activity relevant to this use of funds that the state/territory will use to evaluate its progress in improving provider preparedness, child safety, child well-being, or kindergarten entry and the data on the extent to which the state or territory has met these measures. Describe:

The Lead Agency engages in additional activities to improve the quality of child care services in the areas of preschool quality improvement and afterschool quality improvement. The activities in afterschool quality improvement include efforts focusing on child well-being, safety, developing meaningful relationships, program administration and learning new skills. The activities in kindergarten preparedness are conducted by the Lead Agency in collaboration with the Utah State Board of Education (USBE). The Lead Agency administers the state-funded School Readiness Initiative, which includes the following components:

- (1) Grants to existing preschool programs to increase the quality of the program; and
- (2) Funding to support the expansion of preschool seats for 3, 4, and 5 year olds who are not eligible for Kindergarten in high quality preschool programs.

The Lead Agency is responsible for the School Readiness Initiative's program to administer the state's Pay for Success transaction, adopted in 2014.

The following are outcome measures for the grants to increase quality and the grants to fund

expanded preschool seats in high quality programs:

- (1) The number of programs applying for funds under each grant opportunity and their quality level
- (2) The number of programs receiving funds under each grant opportunity; and
- (3) The number of children served under each grant opportunity.

Effective Date: 07/01/2019

8 Ensure Grantee Program Integrity and Accountability

Program integrity and accountability activities are integral to the effective administration of the CCDF program. Lead Agencies are required to describe in their Plan effective internal controls that ensure integrity and accountability while maintaining the continuity of services (98.16(cc)). These accountability measures should address reducing fraud, waste, and abuse, including program violations and administrative errors.

This section includes topics on internal controls to ensure integrity and accountability and processes in place to investigate and recover fraudulent payments and to impose sanctions on clients or providers in response to fraud. Respondents should consider how fiscal controls, program integrity and accountability apply to:

- Memorandums of understanding within the Lead Agency's various divisions that administer or carry out the various aspects of CCDF
- MOU's, grants, or contracts to other state agencies that administer or carry out various aspects of CCDF
- Grants or contracts to other organizations that administer or carry out various aspects of CCDF such as professional development and family engagement activities
- Internal processes for conducting child care provider subsidy

8.1 Internal Controls and Accountability Measures To Help Ensure Program Integrity

8.1.1 Check and describe how the Lead Agency ensures that all its staff members and any staff members in other agencies who administer the CCDF program through MOUs, grants and contracts are informed and trained regarding program requirements and integrity. Check all that apply:

Effective Date: 10/01/2018

Train on policy manual

Describe:

The Lead Agency has a policy manual for all eligibility programs. New staff are trained how to use the policy manual. When policy changes, the policy citations are announced and reviewed with the eligibility teams.

Train on policy change notices

Describe:

The month prior to implementing subsidy policy changes an update is released, providing a summary of the changes and important points. Supervisors or program specialists review the updates in staff meetings to ensure staff understands the changes.

Ongoing monitoring and assessment of policy implementation

Describe:

Quality Control and Performance Case reviews are conducted monthly to identify administrative errors and improper payments.

Other

Describe:

8.1.2 Lead Agencies must ensure the integrity of the use of funds through sound fiscal management and must ensure that financial practices are in place (98.68 (a)(1)). Describe the processes in place for the Lead Agency to ensure sound fiscal management practices for all expenditures of CCDF funds. Check all that apply:

Effective Date: 10/01/2018

Verifying and processing billing records to ensure timely payments to providers

Describe:

The Lead Agency's policy states that generally, reimbursements are paid within 30 days of receipt but may be affected by accuracy of invoice and approval by Lead Agency's Finance Division. The Lead Agency will strive to make timely payment. Invoices are processed in the order that they are received. If further documentation is needed to process an invoice, the provider is contacted and asked to submit whatever is missing. The invoice is considered complete when the Lead Agency has everything needed to verify expenses. Upon receipt of missing items, the invoice is processed.

Fiscal oversight of grants and contracts

Describe:

The Lead Agency follows all federal guidelines with respect to monitoring all subrecipients receiving CCDF funds. Each agreement has a detailed Scope of Work that is written and detailed by the Lead Agency. The Scope of Work is part of each contract and is signed by the authorized individual at each agency or organization. A number of methods are used to monitor compliance with the contract requirements. Each year there is an orientation meeting where all contract requirements and scope of work are reviewed in detail. Specific direction is given verbally and in writing, as well as time allowed for questions by those in attendance. A Program Specialist and a Contract Analyst are assigned to each contract and works closely with their assigned subrecipients throughout the year to assure contract compliance, provide resources, support and technical assistance, and approve invoices for payment. Other methods used to monitor subrecipients include site visits, monthly meetings with program directors or specialists, quarterly reports that are reviewed by each Program Specialist, fiscal monitoring and audits completed by agency auditors and state auditors. Additionally, each Program Specialist is available by email or phone to answer questions, work

through issues, discuss challenges or approve changes to budget. In unusual instances, the Program Specialist will collaborate with the Contract Analyst if a contract issue needs further clarification or there is a concern regarding compliance.

Tracking systems to ensure reasonable and allowable costs

Describe:

Each invoice is thoroughly examined by the Lead Agency to assure that costs incurred are reasonable and allowable. Each individual that processes invoices utilizes an allowable and unallowable costs document to assure consistency. If there are any questions or issues in regard to allowable costs, the agency or provider submitting the invoice is contacted for clarification. Any unallowable costs submitted will be removed from the budget. The agency or program must submit full documentation accompanied by a general ledger with each invoice each year until there are three "clean" invoices. After three invoices without errors, only a general ledger is required to be submitted, except for on the last invoice of the fiscal year. At that time full documentation with a general ledger is required. Each invoice is reviewed by two members of the Lead Agency staff prior to releasing payment.

Other

Describe:

8.1.3 Check and describe the processes that the Lead Agency will use to identify risk in their CCDF program. Check all that apply:

Effective Date: 03/16/2020

Conduct a risk assessment of policies and procedures

Describe:

Risk assessment is an ongoing process. Program Specialists use data from Quality Control and Performance Review case edits to identify error trends. The policies and procedures where error trends are identified are reviewed and adjusted to ensure clear guidance to help ensure staff make accurate decisions.

 [Establish checks and balances to ensure program integrity](#)

[Describe:](#)

Checks and balances have been put in place to ensure program integrity of the prospective payment process. Parents and providers are both required to report when services are not provided or a child stops attending. Licensed providers must certify monthly that they have reviewed children in their care and reported required changes through the Lead Agency's Provider Portal. This includes a child who did not attend or attended for less than eight hours by the 25th of the month. When the change report results in an overpayment, a referral is automatically submitted to the Payment Error Prevention Unit to process the overpayment. If an investigation is determined necessary, providers must cooperate to continue to receive subsidy payments. Providers who fail to cooperate are no longer eligible for payments until the requested information is provided. Providers are required to retain attendance records for three years.

During the COVID-19 crisis, the Lead Agency changed its policy to pay based on the enrollment of the eligible child. When a parent reports a change in providers, the child is no longer considered enrolled with the first provider and payments will end with that provider. In order to implement this temporary change, reporting a child is no longer attending or has not met the minimum eight hour monthly requirement has been waived. Additionally, the monthly certification requirement for providers as been suspended. The Lead Agency will determine when to end payments based on enrollment after Utah Executive Order 2020-1 is lifted, taking into consideration time for providers to reopen and for children to return to their facilities.

In order to ensure program integrity while paying based on enrollment, the Lead Agency notified all providers on April 3, 2020 of conditional requirements to receive continued payments based on enrollment beginning May 1, 2020. Providers were instructed to reply in writing agreeing that they read and understand the following conditional requirements:

- (1) Child care programs that remain open throughout the Covid-19 pandemic that began with the issuance of Utah Executive Order No. 2020-1 will continue to receive monthly child care subsidy payments for all children who remain enrolled with the identified child care provider;
- (2) If a child care program temporarily closes during Covid-19 pandemic that began with the issuance of Executive Order Utah Executive Order No. 2020-1, in order to continue receiving child care subsidy payments during the pandemic the program shall:

- (a) Re-open within 30 days of the termination of Executive Order Utah Executive Order No. 2020-1; and
- (b) Make a good faith effort at remaining open for at least 12 months upon reopening; and
- (3) Programs that close temporarily at any point during the pandemic and fail to meet the conditions listed above, shall be issued an overpayment of all child care subsidy funds issued to the facility based on the child care subsidy amounts issued each month beginning May 1, 2020 or from the date of the program's temporary closure, as reported to Child Care Licensing, whichever is later.
- (4) Overpayments issued under these temporary rules will follow the Department of Workforce Services established processes for the collection of overpayments, as outlined in Utah Administrative Code R986-700-731.1 (see Utah State Bulletin, April 1, 2020, Vol. 2020, No. 7, page 45 .)

The Lead Agency is tracking provider responses to ensure appropriate actions are taken including submitting overpayment referrals for any temporary providers who do not reopen as agreed upon.

[Use supervisory reviews to ensure accuracy in eligibility determination](#)

[Describe:](#)

Case reviews are completed by the Program Review team each month. Errors that are discovered on the case are sent to the worker to make corrections. The Program Review team follows up to ensure that errors are corrected and that benefits are accurate. Quality Control also completes case reviews on a monthly basis even in off-cycle years. Cases with errors are sent to the program specialist who will work with staff to correct the case and ensure accurate benefits. Data from all case reviews is analyzed to identify error trends. Policy and procedures are reviewed and adjusted as needed to support staff in making accurate decisions.

[Other](#)

[Describe:](#)

Program Specialists attend staff meetings on a regular basis to provide feedback about error trends discovered during Quality Control and case reviews. Program specialist go over changes made and answer questions by staff to help ensure a good understanding

of what is required to make accurate decisions. Program specialists will also communicate directly with supervisors and eligibility staff to provide training and support on policy and procedures.

8.1.4 Lead Agencies conduct a wide variety of activities to fight fraud and ensure program integrity. Lead Agencies are required to have processes in place to identify fraud and other program violations to ensure program integrity. Program violations can include both intentional and unintentional client and/or provider violations, as defined by the Lead Agency. These violations and errors, identified through the error-rate review process may result in payment or nonpayment (administrative) errors and may or may not be the result of fraud, based on the Lead Agency definition. Check and describe any activities that the Lead Agency conducts to ensure program integrity.

Effective Date: 03/16/2020

a) Check and describe all activities that the Lead Agency conducts to identify and prevent fraud or intentional program violations. Include in the description how each activity assists in the identification and prevention of fraud and intentional program violations. Include a description of the results of such activity.

- Share/match data from other programs (e.g., TANF program, Child and Adult Care Food Program, Food and Nutrition Service (FNS), Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS)).

Describe

The state uses an electronic verification system to process all programs. This system is a rules-based system that accounts for all programs (Medicaid, SNAP, TANF, and Child Care). The electronic interface allows staff to run all interfaces at one time and quickly identifies results and in many cases will auto-populate the data into the eligibility system. This makes it easier for staff to see all relevant information and helps to prevent Intentional Program Violations (IPV's).

- Run system reports that flag errors (include types).

Describe:

Review enrollment documents and attendance or billing records

Describe:

Providers are required to retain attendance records for three years. Attendance records are used to establish whether the minimum hours of services were provided and are requested during investigations and audits.

Conduct supervisory staff reviews or quality assurance reviews.

Describe:

The state continues to complete quality assurance reviews every year even when the state is not on-cycle for federal reviews. The case reviews are conducted in the same manner as they are during the on-cycle period.

Audit provider records.

Describe:

The Lead Agency has developed and implemented an auditing process for situations identified as high risk.

Train staff on policy and/or audits.

Describe:

Staff are trained on policy and are instructed to submit an investigation referral when circumstances are questionable or fraud is suspected.

Other

Describe:

The Lead Agency has an electronic interface with the Office of Recovery Services for child support collection and with the Unemployment Insurance Division for start or stop of unemployment benefits. Additionally, child care providers are required to review all child care subsidy cases and children in their care in the Lead Agency's Provider Portal by the 25th of each month and report children who have not been in care for at least eight hours or who have stopped attending. Licensed child care providers are required to certify between the 25th to the last calendar day of each month that this requirement has been completed. The certification helps to prevent or reduce unintentional program violations and more readily identify intentional program violations.

In order to pay providers based on enrollment during the COVID-19 crisis, the monthly certification requirement has temporarily be waived. The Lead Agency anticipates that certification will be resumed after Utah Executive Order 2020-1 has been lifted and the majority of programs have been reopened.

b) Check and describe all activities the Lead Agency conducts to identify unintentional program violations. Include in the description how each activity assists in the identification and prevention of unintentional program violations. Include a description of the results of such activity.

- Share/match data from other programs (e.g., TANF program, CACFP, FNS, Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, PARIS).

Describe:

The state uses an electronic verification system to process all programs. This system is a rules-based system that accounts for all programs (Medicaid, SNAP, TANF, and Child Care). The electronic interface allows staff to run all interfaces at one time and quickly identifies results and in many cases will auto-populate the data into the eligibility system. This makes it easier for staff to see all relevant information and helps to prevent IPV's.

- Run system reports that flag errors (include types).

Describe:

At the beginning of each month, a certification report is run to identify providers who failed to certify in the previous month. Through this process, the Lead Agency has been able to identify providers who have requested their license be closed and have received subsidy payments in that month. This report helps to identify potential overpayments for failure to report changes timely.

- Review enrollment documents and attendance or billing records

Describe:

Providers are required to retain attendance records for three years. Attendance records are used to establish whether the minimum hours of services were provided and are requested during investigations and audits.

[Conduct supervisory staff reviews or quality assurance reviews.](#)

[Describe:](#)

The state continues to complete quality assurance reviews every year even when the state is not on cycle for federal reviews. The case reviews are conducted in the same manner as they are during the on-cycle period.

[Audit provider records.](#)

[Describe:](#)

The Lead Agency has developed and implemented an auditing process for situations identified as high risk.

[Train staff on policy and/or audits.](#)

[Describe:](#)

Staff are trained on policy and are instructed to submit an investigation referral when circumstances are questionable or fraud is suspected.

[Other](#)

[Describe:](#)

The Lead Agency has an electronic interface with the Office of Recovery Services for child support collection and with the Unemployment Insurance Division for start or stop of unemployment benefits. Additionally, child care providers are required to review all child care subsidy cases and children in their care in the Lead Agency's Provider Portal by the 25th of each month and report children who have not been in care for at least eight hours or who have stopped attending. Licensed child care providers are required to certify between the 25th to the last calendar day of each month that this requirement has been completed. The certification helps to prevent or reduce unintentional program violations and more readily identify intentional program violations.

In order to pay providers based on enrollment during the COVID-19 crisis, the monthly certification requirement has temporarily be waived. The Lead Agency anticipates that certification will be resumed after Utah Executive Order 2020-1 has been lifted and the majority of programs have been reopened.

c) Check and describe all activities the Lead Agency conducts to identify and prevent agency errors. Include in the description how each activity assists in the identification and prevention of agency errors.

- Share/match data from other programs (e.g., TANF program, CACFP, FNS, Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, PARIS).

Describe:

The state uses an electronic verification system to process all programs. This system is a rules based system that accounts for all programs (Medicaid, SNAP, TANF, and Child Care). The electronic interface allows staff to run all interfaces at one time and quickly identifies results and in many cases will auto-populate the data into the eligibility system. This makes it easier for staff to see all relevant information and helps to prevent IPV's.

- Run system reports that flag errors (include types).

Describe:

Eight system reports are run to flag errors. They include the following: Monthly Review Status Report, Case Review Workload, Case Review Details, Case Review Accuracy, Case Review Causal Factor Report, Case Review Rank, Case Review (Worker) and Case Review Accuracy (Case).

- Review enrollment documents and attendance or billing records

Describe:

Providers are required to retain attendance records for three years. Attendance records are used to establish whether the minimum hours of services were provided and are requested during investigations and audits.

- Conduct supervisory staff reviews or quality assurance reviews.

Describe:

The state continues to complete quality assurance reviews every year even when the state is not on cycle for federal reviews. The case reviews are conducted in the same

manner as they are during the on-cycle period.

Audit provider records.

Describe:

The Lead Agency has developed and implemented an auditing process for situations identified as high risk.

Train staff on policy and/or audits.

Describe:

Staff are trained regularly on policy to reduce the risk for agency error.

Other

Describe:

8.1.5 The Lead Agency is required to identify and recover misspent funds as a result of fraud, and it has the option to recover any misspent funds as a result of errors.

Effective Date: 10/01/2018

a) Check and describe all activities that the Lead Agency uses to investigate and recover improper payments due to fraud. Include in the description how each activity assists in the investigation and recovery of improper payment due to fraud or intentional program violations. Include a description of the results of such activity. Activities can include, but are not limited to, the following:

Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount

Describe:

There is no minimum dollar amount needed to establish fraud. An individual or program may still be disqualified.

Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).

Describe:

The Lead Agency coordinates with the state Attorney General's office for criminal

prosecution of fraud.

Recover through repayment plans.

Describe:

The Lead Agency works with customers and providers to negotiate repayment plans. Repayment plans are negotiated with an assigned collection agent. There is a minimum monthly payment amount of \$45. Customers and providers receive a monthly billing statement and payment reminder letters when payments are not received.

Reduce payments in subsequent months.

Describe:

There are options for customers that will allow a repayment plan by reducing the monthly benefits until the repayment is paid in full. Recoupment from ongoing care benefits is set at \$20 or 20%, whichever is greater. The customer can also opt for a higher recoupment.

Recover through state/territory tax intercepts.

Describe:

Offsets of state tax refunds are processed when the administrative order issued for the overpayment has been docketed with the court as a judgment.

Recover through other means.

Describe:

Payments may also be received through wage garnishment.

Establish a unit to investigate and collect improper payments and describe the composition of the unit below.

Describe:

The investigation, adjudication, and collection units operate at a statewide level. The investigation unit is composed of a manager and 18 investigators who gather evidence of improper payments and IPV's. The adjudication unit is comprised of a manager and 19 staff who calculate and adjudicate payments. The collection unit is composed of a manager and 10 staff who complete the collections and enforcement functions.

Other

Describe:

b) Check any activities that the Lead Agency will use to investigate and recover improper payments due to unintentional program violations. Include in the description how each activity assists in the investigation and recovery of improper payments due to unintentional program violations. Include a description of the results of such activity. Activities can include, but are not limited to, the following:

Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount

Describe:

There is a \$300 minimum recovery threshold for customers. There is no minimum recovery threshold for provider improper payments.

Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).

Describe:

Recover through repayment plans.

Describe:

The Lead Agency works with customers and providers to negotiate repayment plans. Repayment plans are negotiated with an assigned collection agent. There is a minimum monthly payment amount of \$45. Customers and providers receive a monthly billing statement and payment reminder letters when payments are not received.

Reduce payments in subsequent months.

Describe:

There are options for customers that will allow a repayment plan by reducing the monthly benefits until the repayment is paid in full. Recoupment from ongoing benefits is \$10 or 10% whichever is greater. The customer can request an amount higher to be withheld.

Recover through state/territory tax intercepts.

Describe:

Offsets of state tax refunds are processed when the administrative order issued for the overpayment has been docketed with the court as a judgment.

Recover through other means.

Describe:

Payments may also be received through wage garnishment.

Establish a unit to investigate and collect improper payments and describe the composition of the unit below.

Describe:

The investigation, adjudication, and collection units operate at a statewide level. The investigation unit is composed of a manager and 18 investigators who gather evidence of improper payments and IPV's. The adjudication unit is comprised of a manager and 19 staff who calculate and adjudicate payments. The collection unit is composed of a manager and 10 staff who complete the collections and enforcement functions.

Other

Describe:

c) Check and describe all activities that the Lead Agency will use to investigate and recover improper payments due to agency errors. Include in the description how each activity assists in the investigation and recovery of improper payments due to administrative errors. Include a description of the results of such activity.

Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount

Describe:

There is a \$300 minimum recovery threshold for customers. There is no minimum recovery threshold for provider improper payments.

Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).

Describe:

Recover through repayment plans.

Establish a unit to investigate and collect improper payments.

The Lead Agency works with customers and providers to negotiate repayment plans. Repayment plans are negotiated with an assigned collection agent. There is a minimum monthly payment amount of \$45. Customers and providers receive a monthly billing statement and payment reminder letters when payments are not received.

Reduce payments in subsequent months.

Describe:

There are options for customers that will allow a repayment plan by reducing the monthly benefits until the repayment is paid in full. Recoupment from ongoing benefits is \$10 or 10% whichever is greater. The customer can request an amount higher to be withheld.

Recover through state/territory tax intercepts.

Describe:

Recover through other means.

Describe:

Establish a unit to investigate and collect improper payments and describe the composition of the unit below.

Describe:

The investigation, adjudication, and collection units operate at a statewide level. The investigation unit is composed of a manager and 18 investigators who gather evidence of improper payments and IPV's. The adjudication unit is comprised of a manager and 19 staff who calculate and adjudicate payments. The collection unit is composed of a manager and 10 staff who complete the collections and enforcement functions.

Other

Describe:

8.1.6 What type of sanction will the Lead Agency place on clients and providers to help reduce improper payments due to program violations? Check and describe all that apply:

Effective Date: 05/08/2020

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

Describe:

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

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

Describe:

When the Lead Agency suspects a provider has committed an Intentional Program Violation (IPV), the director of the Utah Office of Child Care will request an Administrative Disqualification Hearing (ADH). The provider will receive written notice of the hearing, which includes the charges against the provider, a summary of the evidence, a listing of the providers rights and a good cause provision for failing to appear. The Administrative Law Judge (ALJ) will determine whether the provider should be disqualified. If the ALJ determines that the provider's conduct does not warrant a disqualification, the Department may impose remedial measures such as increased monitoring. If the ALJ determines the provider should be disqualified, the disqualification period is as follows: one year for the first IPV, two years for the second IPV and for life for the third IPV. All overpayments must be paid in full including a 50 percent civil money penalty before the provider may be reinstated as an approved provider. A provider may appeal an ADH disqualification by filing a request for administrative review. Any appeal must be filed in

writing within 30 days of the date of the ALJ order.

Prosecute criminally.

Describe:

The state has options with the State Attorney General's office to prosecute individuals when the amount is supported with enough evidence to show fraud.

Other.

Describe:

The Lead Agency has the authority to impose remedial measures on a provider for reasons other than an IPV. Examples include increased monitoring, withholding of future subsidy payments for an established pattern of overpayments, failure to repay an overpayment timely and failure to cooperate or impairing or delaying an audit or investigation. Withholding of provider payments does not affect a client's eligibility for child care assistance. An ALJ may also make similar decisions during an ADH and has the authority to disqualify a provider for reasons other than an IPV based on the egregiousness of the provider's actions. These sanctions and steps should lead to reduced improper payments.

[Appendix A: Background Check Waiver Request Form](#)

Lead Agencies may apply for a temporary waiver for certain background check requirements if milestone prerequisites have been fully implemented. These waivers will be considered "transitional and legislative waivers" to provide transitional relief from conflicting or duplicative requirements preventing implementation, or an extended period of time in order for the state/territory legislature to enact legislation to implement the provisions (98.19(b)(1)) These waivers are limited to a one-year period and may be extended for at most one additional year from the date of initial approval.

Approval of these waiver requests is subject to and contingent on OCC review and approval of responses in section 5 questions 5.4.1 -- 5.4.4 to confirm that the milestones are met. If milestone prerequisites are not met, the waiver request will not be approved. Approved waivers would begin October 1, 2018 through September 30, 2019. If approved, States and Territories will have the option to renew these waivers for one additional year as long as progress is demonstrated during the initial waiver period. Separate guidance will be issued later on the

timeline and criteria for requesting the waiver renewal.

Overview of Background Check Implementation deadlines

Original deadline for implementation (658H(j)(1) of CCDBG Act): September 30, 2017

Initial one-year extension deadline (658H(j)(2) of CCDBG Act): September 30, 2018

One-year waiver deadline (45 CFR 98.19(b)(1)(i)): September 30, 2019

Waiver deadline one-year renewal (45 CFR 98.19(b)(1)(ii)): September 30, 2020

Waiver approval for new (prospective) staff, existing staff or staff hired provisionally until background checks are completed, are subject to and contingent upon the OCC review and approval of responses to 5.4.9 that demonstrate that the state/territory requires: (1) the provider to submit the background check request before the staff person begins working; and (2) pending the results of the background check, the staff person must be supervised at all times by an individual who has completed the background check.

To submit a background check waiver request, complete the form below.

Check and describe each background check provision for which the Lead Agency is requesting a time-limited waiver extension.