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Child Care and Development Fund (CCDF) Plan

for

State/Territory Utah

FFY 2022 – 24

Version: Amendment 3

Plan Status: Certified as of 2024-05-14 18:28:10 GMT

This Plan describes the Child Care and Development Fund program to be administered by the state or territory for the period from 10/1/2021 to 9/30/2024, as provided for in the applicable statutes and regulations. The Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described.

For purposes of simplicity and clarity, the specific provisions of applicable laws printed herein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text. The Lead Agency acknowledges its responsibility to adhere to the applicable laws regardless of these modifications.

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Introduction and How to Approach Plan Development

The Child Care and Development Fund (CCDF) program provides resources to state, territory, and tribal grantees that enable low-income parents to work or pursue education and training so that they can better support their families while at the same time promoting the learning and development of their children. The CCDF program also provides funding to enhance the quality of child care for all children.

The CCDF Plan is how states and territories apply for CCDF funding (658E (a)) and is the primary mechanism that the Administration for Children and Families (ACF) uses to determine state and territory compliance with the requirements of the law and rule (98.16). ACF acknowledges that in the FY 2022 – 2024 Plan, states and territories may still be operating under approved waivers related to the COVID-19 pandemic and where appropriate plan responses should reflect the approved waivers. The CCDF Plan allows states and territories to describe their implementation of the CCDF program and it is organized into the following sections:

1. Define CCDF Leadership and Coordination with Relevant Systems and Funding Sources
2. Promote Family Engagement Through Outreach and Consumer Education
3. Provide Stable Child Care Financial Assistance to Families
4. Ensure Equal Access to Child Care for Low-Income Children
5. Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings
6. Recruit and Retain a Qualified and Effective Child Care Workforce
7. Support Continuous Quality Improvement
8. Ensure Grantee Program Integrity and Accountability

These organizational categories reflect key goals of an integrated system of child care for low-income working families. Although the Plan is divided into sections for reporting and accountability purposes, ACF encourages Lead Agencies to approach the Plan in a cross-cutting, integrated manner. The intention is that grantees and the federal government will be able to use this information to track and assess progress, determine the need for technical assistance (TA), and determine compliance with specific requirements.

Citations

ACF recognizes that Lead Agencies use different mechanisms to establish policies, such as state statute, regulations, administrative rules, or policy manuals or policy issuances. When asked to provide a citation in the CCDF Plan, Lead Agencies should list the citation(s) for the policy that clearly identifies and establishes the requirement and that allows the Lead Agency to enforce the requirement. Lead Agencies may list multiple sources as needed to cover all types of providers receiving CCDF (e.g., policies for licensed providers may be established in licensing regulations, and policies for license-exempt providers may be in subsidy rules). These citations are intended to provide documentation to support the requested information but not replace requested responses or descriptions. Complete answers must include citations, responses, and descriptions.

CCDF Plan Submission

States and territories will submit their Plans electronically through the ACF-118 electronic submission site. The ACF-118 site will include all language and questions included in the final CCDF Plan Preprint template approved by the Office of Management and Budget. Please note that the format of the questions on the ACF-118 site could be modified from the Word version of the document to ensure compliance with Section 508 policies regarding accessibility to electronic and information technology for individuals with disabilities. (See <http://www.section508.gov/> for more information.)

In responding to questions, states and territories are asked to provide brief, specific summaries and/or bullet points only with specific language that responds to the question. Do not use tables or copy and paste charts, add attachments, or paste manuals into the Plan. All information and materials developed to support CCDF implementation and information reported in the CCDF Plan are subject to review by ACF as part of ongoing oversight and monitoring efforts.

1 Define Leadership and Coordination with Relevant Systems and Funding Sources

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. Respondents are asked to identify how match and maintenance-of-effort (MOE) funds are used. Lead Agencies explain their coordination with child care resource and referral (CCR&R) systems and describe their efforts on their disaster preparedness and response plans to support continuity of operations in response to emergencies.

1.1 CCDF Leadership

The Governor of a state or territory must designate an agency (which may be an appropriate collaborative agency) or establish a joint interagency 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) and 98.16 (a)). 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) and 98.16(a)).

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: **Casey**

Lead Agency Official Last Name: **Cameron**

Title: **Executive Director**

Phone Number: **(801) 526-9832**

Email Address: **caseycameron@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.

a. CCDF Administrator Contact Information:

CCDF Administrator First Name: **Rebecca**

CCDF Administrator Last Name: **Banner**

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

Phone Number: **(801) 526-9265**

Email Address: **rbanner@utah.gov**

Amended: Effective Date 11/14/2022

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

CCDF Co-Administrator First Name: **Heather**

CCDF Co-Administrator Last Name: **Thomas**

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

Phone Number: **(385) 210-4295**

Email Address: **heatherthomas@utah.gov**

Description of the Role of the Co-Administrator: **The role of the Co-Administrator is to act as the Assistant Director of the Child Care Program and assist with the day-to-day operations of the Office of Child Care. The Assistant Director has authority to act on behalf of the Office of Child Care, in the**

absence of the Director. In addition, the Co-Administrator is involved in strategic planning, administrative oversight and establishing program priorities.

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 the Lead Agency retains overall responsibility for the administration of the program (658D(b) and 98.16 (d)(1)). 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 CCDF program rules and policies are set or established at:

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(d)(1)). Check one.

a. All program rules and policies are set or established at the state or territory level. If checked, skip to question 1.2.2.

b. Some or all program rules and policies are set or established by local entities or agencies. If checked, indicate which entities establish the following policies. Check all that apply.

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

A. State or territory. Identify the entity.

B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the eligibility policies the local entity(ies) can set.

C. Other. Describe:

ii. Sliding-fee scale is set by the:

A. State or territory. Identify the entity.

B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the sliding fee scale policies the local entity(ies) can set.

C. Other. Describe:

iii. Payment rates and payment policies are set by the:

A. State or territory. Identify the entity.

B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the payment rates and payment policies the local entity(ies) can set.

C. Other. Describe:

iv. Licensing standards and processes are set by the:

A. State or territory. Identify the entity.

B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the type of licensing standards and processes the local entity(ies) can set.

C. Other. Describe.

v. Standards and monitoring processes for license-exempt providers are set by the:

A. State or territory. Identify the entity.

B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the type of standards and monitoring processes for license-exempt providers the local entity(ies) can set.

C. Other. Describe:

vi. Quality improvement activities, including QRIS are set by the:

A. State or territory. Identify the entity.

B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the type of quality improvement activities the local entity(ies) can set.

C. Other. Describe:

vii. Other. List and describe any other program rules and policies that are set at a level other than the

state or territory level:

1.2.2 Implementation responsibility

The Lead Agency has broad authority to operate (i.e., implement activities) through other agencies, as long as it retains overall responsibility. Complete the table below to identify which entity(ies) implements or performs CCDF services.

a. Check the box(es) to indicate which entity(ies) implement or perform CCDF services.

CCDF Activity	CCDF Lead agency	TANF agency	Local government agencies	CCR&R	Community-based organizations
Who conducts eligibility determinations?	[x]	[]	[]	[]	[]
Who assists parents in locating child care (consumer education)?	[x]	[]	[]	[x]	[]
Who issues payments?	[x]	[]	[]	[]	[]
Who monitors licensed providers?	[]	[]	[]	[]	[]
Who monitors license-exempt providers?	[]	[]	[]	[]	[]
Who operates the quality improvement activities?	[x]	[]	[]	[x]	[]

b. Other. List and describe any other state or territory agencies or partners that implement or perform CCDF services and identify their responsibilities.

Utah Department of Health, Child Care Licensing, monitors licensed providers and license-exempt providers.

1.2.3 Processes to oversee and monitor CCDF administration and implementation

Describe the processes the Lead Agency uses to oversee and monitor CCDF administration and implementation responsibilities performed by other agencies as reported above in 1.2.1 and 1.2.2 (98.16(b)). In the description include:

- Written agreements. 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 the elements below (98.11(a)(3)).
 - Tasks to be performed
 - Schedule for completing tasks
 - Budget which itemizes categorical expenditures in accordance with CCDF requirements
 - Monitoring and auditing procedures

- o Indicators or measures to assess performance of those agencies
- Any other processes to oversee and monitor other agencies.

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 and other services that support families with young children, which may include child care subsidies and other programs. The agreements require the CAC agencies to operate a referral website and phone services 35 hours per week, 52 weeks per year. Tasks related to quality improvement activities include providing technical assistance regarding the Child Care Quality System (CCQS) to all child care programs eligible to participate in their service area, assist with applications, and collaborate with the lead agency for the activities of the Quality Improvement Coaches and Observation Specialists. Contracts include budget expenditures within indirect expenses, direct administrative expenses, direct program expenses. 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 and an annual onsite monitoring. 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 required 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 twice annually.

The Lead Agency meets monthly with the CAC agencies to ensure that programs are administered consistently throughout the state and that all providers have access to services.

The measures utilized to assess performance include; consumer education and outreach, professional development, child care quality, child care access and capacity building, and disaster preparedness.

1.2.4 Information systems availability to public agencies

Upon request, and to the extent practicable and appropriate, Lead Agencies must ensure 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 to other public agencies. This includes public agencies in other states, for their use in administering child care or related programs (98.15(a)(11)). Assure by describing how the

Lead Agency makes child care information systems (e.g., subsidy, registry, and QRIS systems) available to public agencies in other states.

The Lead Agency makes child care information systems available to public agencies in other states to the extent practicable and appropriate. 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 agency 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.

1.2.5 Confidential and personal identifiable information policies

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)). 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 R986-100-108-110. 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://adminrules.utah.gov/public/search//Current%20Rules>). 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.) <https://adminrules.utah.gov/public/search//Current%20Rules>.

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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. This information is available at (https://jobs.utah.gov/infosource/eligibilitymanual/eligibility_manual.htm) https://jobs.utah.gov/infosource/eligibilitymanual/eligibility_manual.htm

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 as described in question 1.4.1.

1.3.1 Consultation efforts

Describe the Lead Agency’s consultation efforts in the development of the CCDF Plan. Note: Lead Agencies must describe in a. – c. consultation efforts with required partners listed in Rule and Statute. ACF recognizes that there is great value in consulting with other entities and has provided element d. for Lead Agencies to identify consultation efforts with other agencies or organizations.

a. Consultation with general purpose local governments.

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.

Beginning in January 2021, the Office of Child Care established a State Plan Steering Committee consisting of mandatory representatives and other entities, agencies and organizations. The State Plan Steering Committee began meeting in January 2021 and met a total of six times to consult on the state plan. Meetings were conducted virtually due to the COVID-19 pandemic limitations of in-person meetings. In advance of each meeting, participants received relevant sections of the state plan to be discussed at the following meeting. This provided an opportunity for the Lead Agency to meet its responsibilities of consultation with the mandatory representatives.

A representative from the county and city governments was included on the State Plan Steering Committee which provided an opportunity for consultation.

b. Consultation with state advisory council or similar coordinating body.

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

Beginning in January 2021, the Office of Child Care established a State Plan Steering Committee consisting of mandatory representatives and other entities, agencies and organizations. The Lead Agency solicited possible discussion items from the Office of Child Care Advisory Committee to gather feedback to be considered in the state plan. The State Plan Steering Committee began meeting in January 2021 and met a total of six times to consult on the state plan. Meetings were conducted virtually due to the COVID-19 pandemic limitations of in-person meetings. In advance of each meeting, participants received relevant sections of the state plan to be discussed at the following meeting. This provided an opportunity for the Lead Agency to meet its responsibilities of consultation with the mandatory representatives. The draft plan was shared with the Advisory Committee membership.

The chair of the State Advisory Council participated in the State Plan Steering

Committee and provided the opportunity to consult. In addition, the Lead Agency is represented on the State Advisory Council, as a voting member. The State Advisory Council meets quarterly and the Lead Agency provided updates to the plan development in their April 22, 2021 meeting. Finally, the draft State Plan was distributed to the council prior to its submission.

c. Consultation with Indian tribes or tribal organizations within the State.

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.

Beginning in January 2021, the Office of Child Care established a State Plan Steering Committee consisting of mandatory representatives and other entities, agencies and organizations. The State Plan Steering Committee began meeting in January 2021 and met a total of six times to consult on the state plan. Meetings were conducted virtually due to the COVID-19 pandemic limitations of in-person meetings. In advance of each meeting, participants received relevant sections of the state plan to be discussed at the following meeting. This provided an opportunity for the Lead Agency to meet its responsibilities of consultation with the mandatory representatives.

The Tribal Administrators of the Ute and Shoshone tribes were included in the State Plan Steering Committee meetings to advise on any changes to the state plan. Although they did not participate in our state planning meetings, a copy of the draft state plan was sent to all tribal leadership for consultation prior to the public hearing.

d. Consultation with other entities, agencies or organizations.

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: OCC Advisory Committee, Head Start Association, Care About Child Care Agencies, Utah Department of Human Services, Utah Registration of Professional Development, PC Tots, Utah Professional Child Care Association, Private Family Child Care Association, Voices for Utah Children, Utah Afterschool Network, Help Me Grow, Child and Adult Care Food Program, and a McKinney-Vento representative.

1.3.2 Statewide or territory-wide public hearing process

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:

a. Date of the public hearing.

Reminder: Must be no earlier than January 1, 2021, which is 9 months prior to the October 1, 2021, 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).

05/25/2021

b. Date of notice of public hearing (date for the notice of public hearing identified in a.. 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).

05/04/2021

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

The notice of the public hearing was posted on (<https://jobs.utah.gov>) <https://jobs.utah.gov>. 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>) <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 held the public hearing virtually with online web conferencing. This platform allowed the public to participate online or call in. The hearing was held in the evening to allow participation for those that work during the day. The options allowed for statewide participation in the hearing.

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 to the Lead Agency's website on 05/04/2021. 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 was open until 05/25/2021. The Lead Agency met on 5/27/2021 and 06/04/2021 and reviewed all of the public comments. The Lead Agency evaluated whether the comments required revisions to the State Plan, would be considered in a future amendment, or would not be considered. Where appropriate, revisions were made to the Plan.

1.3.3 Public availability of plan, amendments and waivers

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 at <https://www.acf.hhs.gov/occ/resource/pi-2009-01>.)

a. Website link for plan, amendments and waivers

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. Other strategies for plan, amendments and waivers availability

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:

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:

Child care resource and referral agencies have representation on the Office of Child Care Advisory Committee and receive information about 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.

Providing translation in other languages. Describe:

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

Providing notification to stakeholders (e.g., parent and family groups, provider groups, advocacy groups). Describe:

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

Working with statewide afterschool networks or similar coordinating entities for out-of-school time.

Other. Describe:

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 Accessibility and continuity of care

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.
- developing the supply of quality care for vulnerable populations (as defined by the Lead Agency) in child care and out-of-school time settings.

a. Lead Agency coordination with required agencies

The Lead Agency is required to coordinate with the following agencies. Provide a description for how coordination occurred.

- i. Appropriate representatives of the general purpose local government, which can include counties, municipalities, or townships/towns. Describe the coordination goals, processes, and results:

The Lead Agency consults on a regular basis with representatives of local governments. A representative from a local government participated on the State Plan Steering Committee and provided an opportunity to consult on the development of the state plan. 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. In March 2020, the Lead Agency released a Child Care Access in Utah report that includes data at the county level, which will inform the work of the Lead Agency over the course of this plan implementation. The Lead Agency will work with representatives of local government to develop specific goals and outcomes from collaboration.

- ii. 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, processes, and results:

The Lead Agency has two voting positions on the State Advisory Council, Early Childhood Utah. This close relationship with Early Childhood Utah (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, the State Advisory Council, has subcommittees for the following initiatives: promoting health and access to medical homes; early care and education; social/emotional and mental health; parent engagement, support and education; data and research; and ad hoc committees as needed.

The State Advisory Council recently approved standardized developmental screening tools across birth-5 Early Childhood Systems and will continue to work towards the use of a statewide professional development registry system to provide consistent training to all early childhood provider types.

The State Advisory Council is also working towards establishing and recommending a professional development task force to create definitions and competencies.

Check here if the Lead Agency has official representation and a decision-making role in the State Advisory Council or similar coordinating body.

- iii. Indian tribe(s) and/or tribal organization(s), at the option of individual tribes. Describe the coordination goals, processes, and results, including which tribe(s) was (were) consulted:

The Lead Agency has encouraged participation of Indian tribes in the Office of Child Care Advisory meetings and has scheduled bi-monthly meetings with tribal CCDF partners to discuss child care policy and work through processes. The Lead Agency is always available as a resource to the tribal organizations. Whenever substantial policy changes are made, tribal CCDF partners are notified. Additionally, the Lead Agency has memorandums in place with the Shoshone, Paiute and Confederated Tribes of the Goshute Reservation and with Child Care Licensing to administer background checks and verify health and safety requirements, if requested. The Tribal Administrators of the Ute and Shoshone tribes were included in the State Plan Steering Committee meetings to advise on any changes to the state plan. Although we have not had regular participation in any of the state meetings, we have a good working relationship with each of the CCDF Tribal Administrators and assist them on a case by case basis as policy questions arise or coordination is needed.

N/A—Check here if there are no Indian tribes and/or tribal organizations in the state.

- iv. 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 Part B, Section 619 for preschool). Describe the coordination goals, processes, and results:

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. Under the direction of the Governor's Early Childhood Commission, the State Advisory Council will develop and implement a coordinated system to increase developmental screenings for children. The Commission recently adopted the Ages and Stages Questionnaire as the universal screening tool, selected the Utah Registry of Professional Development to be used for standardized training, and approved a data integration project that will make screening data available to those who interact directly with children and parents through an integrated and coordinated health data and other systems. This will increase the number of screenings performed, identify potential development delays, and opportunities for

program referrals to support the children and families. The project was recently approved and in the preliminary planning and implementation stages. Outcomes will be determined during the project planning.

- v. State/territory office/director for Head Start state collaboration. Describe the coordination goals, processes, and results:

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. The Head Start Collaboration Office efforts resulted in furthering the work in full day care, transitions, licensing, and quality rating and improvement systems.

The Head Start Collaboration Office efforts resulted in the following outcomes:

Full-day Care:

Increased high-quality full-day early care and education services in Utah by facilitating meetings between Head Start and child care programs to encourage relationship building and open communication to promote sound Early Head Start & Child Care Partnerships.

Transitions:

Developed components of Utah's Statewide Kindergarten Transition Toolkit with OCC and the Utah State Board of Education,

Created a Scope of Work to foster greater collaboration between Local Education Agencies, Head Start and child care to improve school readiness outcomes for disadvantaged children, and

Promoted greater statewide family engagement to improve child attendance through informal and formal agreements across Utah's mixed delivery early care and education systems, which includes Head Start, Local Education Agencies and child care.

Licensing:

Offered ongoing information to Head Start programs on the requirements for child care eligibility, subsidy, and licensing during Utah Head Start Association meetings and via email communications to promote greater understanding of the child care system and benefits of becoming licensed.

Quality Rating and Improvement System:

Fostered alignment by ensuring OCC's Quality Rating and Improvement System, CCQS, incorporated key elements of the Head Start Parent, Family and Community Engagement Framework,

Annually invited OCC to share the benefits for voluntarily participating in the Quality Rating and Improvement System with Head Start, and

Promoted parent choice by working with OCC to ensure Head Start programs are searched and found by parents on the Care About Childcare (CAC) website on the website's public search feature.

- vi. State/territory agency responsible for public health, including the agency responsible for immunizations. Describe the coordination goals, processes, and results:

The Lead Agency coordinates with the Utah Department of Health through participation on the State Advisory Council, Early Childhood Utah. The purpose of the ECU Advisory Council is to organize early care and education stakeholders in the state to improve coordination. Coordinated efforts will increase the use of developmental screeners in organizations that interact with children, including primary care providers and child care providers. There will be an increase in developmental screenings, identify developmental delays among children attending child care programs and, when necessary, provide resources to families to ensure that any delays are addressed through Dept. of Health programs and partnerships. The number of screens completed in 2019 were 13,600. The number of screens completed in 2020, declined to 10,504, which could be a result of programs not having enough resources to sustain screening through COVID-10. It is anticipated that the coordinated efforts will increase the number of screenings in the coming years. 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 ensure the child care settings are healthy and safe.

- vii. State/territory agency responsible for employment services/workforce development. Describe the coordination goals, processes, and results:

The Lead Agency also serves as the agency responsible for employment services and workforce development. This includes unemployment, re-employment, administration of the Temporary Assistance for Needy Families grant, Workforce Innovation and Opportunity Act, 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 requirements of CCDF 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.

- viii. State/territory agency responsible for public education, including Prekindergarten (PreK). Describe the coordination goals, processes, and results:

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, nonprofits 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.

Utah's Early Learning Guidelines for Birth to Three provide a framework for understanding developmentally appropriate expectations for infants and toddlers. The goals of the standards are;

1. To help parents and other caregivers understand what young children should be doing socially, emotionally, physically, cognitively, and communicatively at certain points during the first three years.
2. To promote healthy child growth and development, high quality child care and early childhood education.
3. To provide common language for those who are providing services to benefit families with infants and toddlers.

The purpose of Utah's Early Learning Standards: Ages 3 to 5 is to give administrators, early childhood professionals, and families of preschool-aged students guidance and

resources regarding developmentally appropriate standards and goals for young children and students. This guide was approved by the Board in May 2020 and will be fully implemented in the 2021-2022 school year. As this is a pilot year, baseline outcomes have not been established. Implementing these Standards in early childhood programs will improve kindergarten readiness and reduce achievement gaps.

The Lead Agency and USBE coordinate together on School Readiness Grants, providing high quality preschool programs in private and public systems. Programs receiving School Readiness Grant funding are required to implement the standards in their programs and report on children's progress in the standard content area.

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. In the state fiscal year 2021, 2,053 children participated in 20 public and private programs that received funding through School Readiness Grants.

- ix. State/territory agency responsible for child care licensing. Describe the coordination goals, processes, and results:

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. One goal of CCL is to conduct local and national background screenings in accordance with State and Federal laws. A dedicated team has been established to process background checks, resulting in most background checks being processed within five business days.

Additionally, CCL provides technical assistance to providers failing to meet licensing requirements, which includes the development and delivery of training on the child care rules and CCDF requirements for providers. Training processes have been implemented to educate and assist providers on administrative rules changes and offer technical assistance. This results in all regulated providers being in compliance with CCDF requirements and thereby improving the health and safety of the children in their care.

CCL is providing support to all regulated provider types to make necessary changes to comply with required health and safety protocols, including those required to reduce the spread of COVID-19. The Lead Agency has allocated CARES and CRRSA funds for CCL to administer grants to child care providers that will improve their facilities or request

supplies to reduce the spread of COVID-19. The results are providers have access to resources to reduce the spread of COVID-19 in their facilities without creating a financial hardship.

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 goal of all coordination efforts 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.

- x. State/territory agency responsible for the Child and Adult Care Food Program (CACFP) and other relevant nutrition programs. Describe the coordination goals, processes, and results:

The Lead Agency coordinates with the Child and Adult Care Food Program (CACFP) 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.

The number of child care centers that participate in CACFP have increased in recent years. In FFY20, the community program sites totaled 304 centers, 1381 family providers, and 151 afterschool programs. Coordination efforts will increase the programs that participate in CACFP, ensuring children have their nutritional needs met.

- xi. 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, processes, and results:

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 Office of Homeless Services. This office 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. The Lead Agency is implementing policy changes to increase the number of families that may receive Homeless Child Care Assistance.

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 or qualify for TANF. A referral must be provided by the recognized homeless agency to approve the Homeless Child Care program. Families may receive up to twelve months of child care to support activities including, but not limited to, employment, job search, training, shelter search, or working through a crisis situation. 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 childcare 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. Specific outcome measures will be developed to support the coordination efforts.

- xii. State/territory agency responsible for the Temporary Assistance for Needy Families (TANF) program. Describe the coordination goals, processes, and results:

The Lead Agency is responsible for TANF. As with the division responsible for 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. Coordination results are achieved through coordinated policies, procedures, and access to high quality child care programs. It also ensures alignment and coordination of services for these families, including linking them to comprehensive services. In FY20, 810 families with 1,484 children received TANF child care.

- xiii. Agency responsible for Medicaid and the state Children's Health Insurance Program. Describe the coordination goals, processes, and results:

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 healthcare 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 common application for all public programs.

- xiv. State/territory agency responsible for mental health. Describe the coordination goals, processes, and results:

The Lead Agency coordinates with the Department of Human Services (DHS), 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. In addition, during the 2021 Utah Legislative Session, a bill passed that requires coordination between the Lead Agency and the Department of Human Services - Division of Substance Abuse and Mental Health for training and education regarding child behavioral health. 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.

In August 2021, the Governor’s Early Childhood Commission adopted an Early Childhood Mental Health Needs Assessment, published in December 2020. This will be a guiding document for the State Advisory Council to include in their strategic planning. Specific coordination goals and outcomes will be developed as the assessment is incorporated in the Early Childhood system.

- xv. 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, processes, and results:

Utah's network of Child Care Resource & Referral (CCR&R) agencies, it's Utah Registry of Professional Development and the Care About Childcare 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) and 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.

The primary goal of coordinating with CACs is to ensure that all providers have access to consistent information related to training, Child Care Quality System (CCQS), and child care referral information. The results of these efforts will include increasing the number of providers that participate in CCQS, increase the rating of providers that participate in intensive coaching services, and increase the number of providers that participate in training provided by CAC. Utah has 28 licensed centers that meet the high quality threshold and 70 additional licensed centers that participate in CCQS.

xvi. Statewide afterschool network or other coordinating entity for out-of-school time care (if applicable). Describe the coordination goals, processes, and results:

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.

UAN's quality improvement model consists of the UAN Quality and Improvement Tool and evidence-based observations that provide feedback to programs based on the Weikart Center School-Age and Youth Program Quality Assessments and UAN provides technical assistance to programs. UAN expands and strengthens their Professional Learning System which includes conferences, Peer Learning Communities, Behavior Management Institute, eLearning Institute, Leadership Cohorts, Summer Webinar Series, and professional development incentives. Through their efforts, last year 217 programs submitted the Quality Tool. 87% of programs achieved and improved Quality Tool Scores in Learn New Skills and Develop Meaningful Relationships. 97% of programs that completed an action plan said it helped improve overall quality. 83% of programs said that completing the Quality Tool helped to improve overall quality.

xvii. Agency responsible for emergency management and response. Describe the coordination goals, processes, and results:

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. During the COVID-19 pandemic, The Lead Agency worked under the direction of the Governor's Office to respond to the health emergency. In partnership with the state's Emergency Management division, and Child Care Licensing, health and safety changes were communicated to providers, parents, and stakeholders. 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 childcare and child care providers are part of the emergency response.

b. Coordination goals, processes and results with optional partners

The following are examples of optional partners a state might coordinate with to provide services. Check which optional partners the Lead Agency coordinates with and describe the coordination goals, processes and results.

i. 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. 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.

The Head Start Collaboration Office is located within the Lead Agency and is a member of the OCC staff and has 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. The Head Start Collaboration Office efforts resulted in furthering the work in full day care, transitions, licensing, and quality rating and improvement systems. The Head Start Collaboration Office efforts resulted in the following outcomes:

Full-day Care:

Increased high-quality full-day early care and education services in Utah by facilitating meetings between Head Start and child care programs to encourage relationship building and open communication to promote sound Early Head Start Child Care Partnerships.

Transitions:

Developed components of Utah's Statewide Kindergarten Transition Toolkit with OCC and the Utah State Board of Education, created a Scope of Work to foster greater collaboration between Local Education Agencies, Head Start and child care to improve school readiness outcomes for disadvantaged children, and promoted greater statewide family engagement to improve child attendance through informal and formal agreements across Utah's mixed delivery early care and education systems, which includes Head Start, Local Education Agencies and child care.

Licensing:

Offered ongoing information to Head Start programs on the requirements for child care eligibility, subsidy, and licensing during Utah Head Start Association meetings and via email communications to promote greater understanding of the child care system and benefits of becoming licensed.

Quality Rating and Improvement System:

Fostered alignment by ensuring OCC's Quality Rating and Improvement System, CCQS, incorporated key elements of the Head Start Parent, Family and Community Engagement Framework, annually invited OCC to share the benefits for voluntarily participating in the Quality Rating and Improvement System with Head Start, and promoted parent choice by working with OCC to ensure Head Start programs are searched and found by parents on the Care About Childcare (CAC) website on the website's public search feature.

ii. State/territory institutions for higher education, including community colleges. Describe:

The Lead Agency supports Early EdU, which involves working closely with Utah institutes of higher education to participate in the National Center on Quality Teaching and Learning Consortia. Through this partnership, Early EdU is providing access to higher education for early childhood educators through online coursework that has been approved by the Consortia. The Utah Early EdU Collaboration partners with Southern Utah University to award college credit to participants for successful completion of courses.

Coordination efforts result in participants receiving college credits in early education courses. Last year, 90 professionals enrolled in Early EdU classes with 55 completing at least one course with a passing grade. The Lead Agency will use CRRSA funding to expand the partnership with Early EdU, resulting in more access for participants to take college courses.

In addition, the Lead Agency is using CRRSA funding to expand the support to the T.E.A.C.H. program. T.E.A.C.H is currently offered through Salt Lake Community College, Dixie State University and Weber State University.

T.E.A.C.H will expand the number of participants that participate in the associate degree scholarship program to 90 students. They will also add a Bachelor degree model for 20 participants. These efforts will result in an increase in opportunity for early educators to participate in T.E.A.C.H. and an increase of early education degrees obtained.

iii. Other federal, state, local, and/or private agencies providing early childhood and school-age/youth-serving developmental services. Describe:

iv. State/territory agency responsible for implementing the Maternal and Child Home Visitation programs grant. Describe:

v. Agency responsible for Early and Periodic Screening, Diagnostic, and Treatment Program. Describe:

vi. State/territory agency responsible for child welfare. Describe:

vii. 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. Coordination efforts provide an opportunity for the Lead Agency to provide updates on policies and procedures affecting child care providers as well as gather feedback from the association to consider when developing or amending programs. The Lead Agency does not have specific goals and outcomes identified for the coordinated efforts.

viii. Parent groups or organizations. Describe:

ix. 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 required program 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 Combined funding for CCDF services

Does the Lead Agency choose to combine funding for CCDF services for any programs identified in 1.4.1 (98.14(a)(3))?

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. What is 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? Note: Responses should align with the goals, processes and results describe in 1.4.1.

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 CCDF Matching and MOE Requirements

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)? Check all that apply.

Note: Lead Agencies that use Prekindergarten funds to meet matching requirements must check Prekindergarten funds and public and/or private funds. 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 Prekindergarten 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)).

a. N/A—The territory is not required to meet CCDF matching and MOE requirements.

b. 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.

i. If checked, identify the source of funds:

Public funds used to meet match requirements include state general fund, county funds, and city funds.

c. 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)).

i. If checked, are those funds:

A. Donated directly to the state?

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

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

d. 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 Prekindergarten expenditures (not to exceed 30 percent):

- i. If the percentage is more than 10 percent of the matching fund requirement, describe how the state will coordinate its Prekindergarten 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.

- ii. Describe the Lead Agency efforts to ensure that Prekindergarten 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.

e. State expenditures for Prekindergarten programs are used to meet the CCDF maintenance-of-effort requirements. If checked,

- i. Assure by describing how the Lead Agency did not reduce its level of effort in full-day/full-year child care services, pursuant to 98.55(h)(1) and 98.15(a)(6).

The Lead Agency can assure that the state will not reduce its level of effort in full-day/full-year child care services. The Lead Agency has maintained the maximum amount allowed (20% of MOE) claimed in prior years and will continue to do so through current contracts in place with school districts and other eligible organizations that provide full-day/full-year child care services. As these contracts come to a close during the time period of this state plan, the Lead Agency will consider future grant opportunities that support maintenance of full-day/full-year child care services.

- ii. Describe the Lead Agency efforts to ensure that Prekindergarten 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.

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

20 percent

- iv. If the percentage is more than 10 percent of the MOE requirement,

describe how the state will coordinate its Prekindergarten 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.

- [x] f. The same funds are used to meet at least some of the CCDF MOE and TANF MOE requirements.
- i. If known, what percent of funds used to meet CCDF MOE also is used to meet TANF MOE requirements?

100 percent

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 Lead Agency public-private partnerships

Identify and describe any public-private partnerships encouraged by the Lead Agency to leverage public and private resources to further the goals of the CCDBG Act. Include in the response any public-private partnerships that have emerged from the response to the COVID-19 pandemic (98.16(d)(2)) and if applicable, how those partnerships will be continued post-pandemic.

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 programs 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 AfterschoolNetwork (UAN) (community-based organization); and various local governments(county/local). The goal of these partnerships is to ensure that school-age children have

access to 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.

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. 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.

1.7 Coordination with Child Care Resource and Referral Systems

Lead Agencies may use CCDF funds to establish or support a system or network 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 Part B, 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, describe what services are provided and how it is structured. Use subsection 7.5 to address the services provided by the local or regional child care resource and referral agencies and the indicators of progress met by CCR&R organizations if they are funded by quality set-aside funds.

1.7.1 Funding local or regional CCR&R organizations

Does the Lead Agency fund local or regional CCR&R organizations?

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 organization(s) with all the responsibilities outlined above. If yes, describe the following:

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. For example, three of the agencies provide fingerprinting services, the other three offer a fingerprint reimbursement grant. 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 and one at a local government agency work under Inter-Agency Agreements with formal contracts. The Lead Agency contracts with the remaining one to work under a subrecipient agreement.

1.8 Disaster Preparedness and Response Plan

In past disasters, and in response to the COVID-19 pandemic, the provision of emergency child care services and rebuilding and restoring of child care infrastructure has emerged as an essential service. 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. The effective date for the establishment of this Statewide Disaster Plan was October 1, 2018.

1.8.1 Statewide disaster plan updates

Did you make any updates to the Statewide Disaster Plan since the FY 2019-2021 CCDF Plan was submitted? Please consider any updates that were made as a result of the Lead Agency's experiences in responding to the COVID-19 pandemic. (Note: It is a Lead Agency decision on how often a plan should be updated and which entities, if any, should be collaborated with in the updating process.)

No

Yes. If yes, describe the elements of the plan that were updated:

Updates were made to provide clarity across all provider types.

1.8.2 Statewide disaster plan continued compliance

To demonstrate continued compliance with the required elements in the Statewide Disaster Plan, certify by checking the required elements included in the current State Disaster Preparedness and Response Plan.

a. The plan was developed in collaboration with the following required entities:

i. State human services agency

ii. State emergency management agency

iii. State licensing agency

iv. State health department or public health department

v. Local and state child care resource and referral agencies

vi. State Advisory Council on Early Childhood Education and Care or

similar coordinating body

- [x] b. The plan includes guidelines for the continuation of child care subsidies.
- [x] c. The plan includes guidelines for the continuation of child care services.
- [x] d. The plan includes procedures for the coordination of post-disaster recovery of child care services.
- [x] e. The plan contains requirements for all CCDF providers (both licensed and license-exempt) to have in place:
 - [x] i. Procedures for evacuation
 - [x] ii. Procedures for relocation
 - [x] iii. Procedures for shelter-in-place
 - [x] iv. Procedures for communication and reunification with families
 - [x] v. Procedures for continuity of operations
 - [x] vi. Procedures for accommodations of infants and toddlers
 - [x] vii. Procedures for accommodations of children with disabilities
 - [x] viii. Procedures for accommodations of children with chronic medical conditions
- [x] f. The plan contains procedures for staff and volunteer emergency preparedness training.
- [x] g. The plan contains procedures for staff and volunteer practice drills.

1.8.3 Website link to statewide child care disaster plan

If available, provide the direct URL/website link to the website where the statewide child care disaster plan is posted:
(<https://jobs.utah.gov/occ/occdisaster.pdf>) <https://jobs.utah.gov/occ/occdisaster.pdf>

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. OCC expects that Lead Agencies are using targeted strategies for each group to ensure tailored consumer education information. In this section, Lead Agencies will address how information is made available to families, the general public and child care providers 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.

This section also covers the parental complaint process and the consumer education website that has been developed by the Lead Agency. Finally, this section addresses the consumer statement that is provided to parents supported with CCDF funds.

Note: When asked for citations, responses can include state statute, regulations, administrative rules, policy manuals, or policy issuances. See the Introduction on page 4 for more detail.

2.1 Outreach for 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 child care providers with 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 Strategies to provide outreach and services to eligible families

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.

- a. Application in other languages (application document, brochures, provider notices)
- b. Informational materials in non-English languages
- c. Website in non-English languages
- d. Lead Agency accepts applications at local community-based locations
- e. Bilingual caseworkers or translators available
- f. Bilingual outreach workers
- g. Partnerships with community-based organizations
- h. Collaboration with Head Start, Early Head Start, and Migrant Head Start
- i. Home visiting programs
- j. Other. Describe:

2.1.2 Strategies to provide outreach and services to disabled family members

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.

- a. Applications and public informational materials available in Braille and other communication formats for access by individuals with disabilities

- b. Websites that are accessible (e.g., Section 508 of the Rehabilitation Act)
- c. Caseworkers with specialized training/experience in working with individuals with disabilities
- d. Ensuring accessibility of environments and activities for all children
- e. Partnerships with state and local programs and associations focused on disability-related topics and issues
- f. 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
- g. Partnerships with state and local IDEA Part B, Section 619 and Part C providers and agencies
- h. Availability and/or access to specialized services (e.g., mental health, behavioral specialists, therapists) to address the needs of all children
- i. 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 (s); 98.32(d)).

2.2.1 Reporting process for submitting complaints

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. Go to (<https://childcarelicensing.utah.gov>) <https://childcarelicensing.utah.gov>, click on the Parents & Public tab, then click on File a Complaint. They may also call or email Child Care Licensing to report a complaint. The process on how to file a complaint is found at (<https://childcarelicensing.utah.gov/FileComplaint.html>) <https://childcarelicensing.utah.gov/FileComplaint.html>. Go to <https://childcarelicensing.utah.gov>, click on the Parents & Public tab, then click on File a Complaint. The online complaint process is found at <https://childcarelicensing.utah.gov/FileComplaint.html> childcarelicensing.utah.gov/FileComplaint.html.

2.2.2 Process and timeline for screening, substantiating, and responding to complaints

For complaints regarding all providers, including CCDF providers and non-CCDF providers, describe the Lead Agency's process and timeline for screening, substantiating, and responding to complaints. Describe whether the process includes monitoring, and highlight any differences in processes for CCDF and non-CCDF providers and licensed and license-exempt providers:

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 or the provider is licensed or exempt.

2.2.3 Maintaining records of substantiated parental complaints

Certify by describing how the Lead Agency maintains a record of substantiated parental complaints. Highlight any differences in processes for CCDF and non-CCDF providers and licensed and license-exempt providers:

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.

2.2.4 Making information about substantiated parental complaints available to the public

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.

2.2.5 Citations related to parental complaints

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>) <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) and 98.33 (a)). The website must include information to assist families in understanding the Lead Agency's policies and procedures, including licensing child care providers. The website information must also include monitoring and inspection reports for each provider, and the quality of each provider (if such information is available for the provider) (658E(c)(2)(D); 98.33(a)). The website should also provide access to a yearly statewide report on the aggregate number of deaths, serious injuries, and the number of cases of substantiated child abuse that have occurred in child care settings. To help families access additional information on finding child care, the website must include contact information for local child care and resource referral organizations. It must also include information on how parents can contact the Lead Agency and other organizations to better understand 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 direct URL/website link to the consumer education website in 2.3.11.

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 Consumer-Friendly and easily accessible website

Describe how the Lead Agency ensures that its website is consumer-friendly and easily accessible. (Note: While there is no Federal CCDF definition for easily accessible, Lead Agencies may consider easily accessible websites to be searchable, simple to navigate, written in plain language, and easy to understand.):

The Lead Agency's consumer education website is <https://jobs.utah.gov/occ>. Through this website, parents can link to careaboutchildcare.utah.gov to search for child care through a robust filter search and review

their selected provider's licensing record and quality rating.

The Lead Agency ensures that its websites are consumer-friendly and easily accessible in a variety of ways.

The Lead Agency operates the OCC website (<https://jobs.utah.gov/occ>) (<https://jobs.utah.gov/occ>), featuring a parent resource section (<https://jobs.utah.gov/occ/parent/find/guidance.html>) (<https://jobs.utah.gov/occ/parent/find/guidance.html>) which includes links to concise written summaries on Utah 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 access the CAC website to search for care (<https://jobs.utah.gov/occ/cac.html>) (<https://jobs.utah.gov/occ/cac.html>) as well as information on how to contact their local CAC agency (<https://jobs.utah.gov/occ/provider/caccontact.htm>) (<https://jobs.utah.gov/occ/provider/caccontact.html>) 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 has the ability to be translated into Spanish and there is a contact phone number for individuals that need assistance with translation.

The Care About Childcare (CAC) website was brought in-house by the Lead Agency in 2021 and the website is frequently reviewed and updated by the Lead Agency and its partners to ensure it is easy to navigate for users. The users include providers, parents and the general public. Any necessary changes are made 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. In order to support consumers, the website includes a child care provider search feature. 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;
- the rate the provider charges;
- hours of operation;
- licensing history, including monitoring and inspection reports;
- locations of child care providers within a geographic radius of the parent's workplace or home; and

Parents can also view a program's Child Care Quality System certified quality rating or status.

In addition, consumers may also utilize the search feature to identify providers that 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 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.

2.3.2 Website access for families whose primary language is not English

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 includes a feature in the footer text that allows the website to be translated into over 100 languages other than English. Additionally, if a parent or provider contacts the OCC helpline and needs assistance in a language other than English, OCC has a procedure in place to contact translation services to get the consumer help in their preferred language. Local Care About Childcare Agencies may also contact interpreters through other agencies, including a refugee community center and an interpretive services agency.

2.3.3 Website access for persons with disabilities

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

The website ensures the widest possible access to services for people with disabilities through compliance with the American's with Disabilities Act. Specifically, when the Lead Agency rebuilt the Care About Childcare website and brought it in-house, its contracted partner that completed the development, DTS, ensured the website conformed with the requirements of section 508 of the ADA.

2.3.4 Child care policies and procedures

Provide the specific website links to the descriptions of the Lead Agency's 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.

a. Provide the direct URL/website link to how the Lead Agency licenses child care providers, including the rationale for exempting certain providers from licensing requirements, as described in subsection 5.2:

**Information on how child care providers are licensed or regulated is found at
(<https://childcarelicensing.utah.gov/Types.html>)
<https://childcarelicensing.utah.gov/Types.html>.**

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, licensed and licensed-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 direct URL/website link to the processes for conducting monitoring and inspections of child care providers, as described in subsection 5.4:

Information regarding required monitoring and inspections of child care providers can be found at Information on how child care providers are licensed or regulated is found at (<https://childcarelicensing.utah.gov/Types.html>)
<https://childcarelicensing.utah.gov/Types.html>.

c. Provide the direct URL/website link to the policies and procedures related to criminal background checks for staff members of child care providers, as described in 5.5.2.

(<https://childcarelicensing.utah.gov/BgsPP.html>)
<https://childcarelicensing.utah.gov/BgsPP.html>

d. Provide the direct URL/website link to the offenses that prevent individuals from being employed by a child care provider or receiving CCDF funds, as described in questions 5.5.4:

(<https://childcarelicensing.utah.gov/2021%20Center%20Interpretation%20Manual/FINAL%202021%20Center%20IM%20Section%208.pdf>)

<https://childcarelicensing.utah.gov/2021%20Center%20Interpretation%20Manual/FINAL%202021%20Center%20IM%20Section%208.pdf>

2.3.5 Searchable list of providers

How does the Lead Agency post a localized list of providers searchable by zip code on its website?

The consumer education website must include a list of all licensed providers (98.33 (a)(2)). At the discretion of the Lead Agency, all providers eligible to deliver CCDF services, identified as either licensed or license-exempt, can be included. 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.

a. Provide the website link to the list of child care providers searchable by ZIP code:

(<https://jobs.utah.gov/jsp/cac/search>) <https://jobs.utah.gov/jsp/cac/search>

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

i. License-exempt center-based CCDF providers

ii. License-exempt family child care (FCC) CCDF providers

iii. License-exempt non-CCDF providers

iv. Relative CCDF child care providers

v. 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. Check the box when information is provided.

Provider Information Available in Searchable Results

All Licensed Providers

Contact Information

Enrollment capacity

Hours, days and months of operation

Provider education and training

Languages spoken by the caregiver

Quality information

Monitoring reports

Willingness to accept CCDF certificates

Ages of children served

License-Exempt CCDF Center-based Providers

- Contact Information
- Enrollment capacity
- Hours, days and months of operation
- Provider education and training
- Languages spoken by the caregiver
- Quality information
- Monitoring reports
- Willingness to accept CCDF certificates
- Ages of children served

License-Exempt CCDF Family Child Care Home Providers

- Contact Information
- Enrollment capacity
- Hours, days and months of operation
- Provider education and training
- Languages spoken by the caregiver
- Quality information
- Monitoring reports
- Willingness to accept CCDF certificates
- Ages of children served

License-Exempt Non-CCDF Providers

- Contact Information
- Enrollment capacity
- Hours, days and months of operation
- Provider education and training
- Languages spoken by the caregiver
- Quality information
- Monitoring reports
- Willingness to accept CCDF certificates
- Ages of children served

Relative CCDF Providers

- Contact Information
- Enrollment capacity
- Hours, days and months of operation

- Provider education and training
- Languages spoken by the caregiver
- Quality information
- Monitoring reports
- Willingness to accept CCDF certificates
- Ages of children served

d. Other information included for:

i. All Licensed providers.

Vacancies, years in operation, non-traditional care availability, monthly rate range by age group

ii. License-exempt CCDF center-based providers.

Vacancies, years in operation, non-traditional care availability, monthly rate range by age group

iii. License-exempt CCDF family child care providers.

Vacancies, years in operation, non-traditional care availability, monthly rate range by age group

iv. License-exempt, non-CCDF providers.

Vacancies, years in operation, non-traditional care availability, monthly rate range by age group

v. Relative CCDF providers.

Vacancies, years in operation, non-traditional care availability, monthly rate range by age group

2.3.6 Provider-specific quality information

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.

a. What information does the Lead Agency provide on the website to determine quality ratings or other quality information?

- i. Quality rating and improvement system
- ii. National accreditation
- iii. Enhanced licensing system
- iv. Meeting Head Start/Early Head Start Program Performance Standards
- v. Meeting Prekindergarten quality requirements
- vi. School-age standards, where applicable
- vii. Other. Describe:

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

i. Licensed CCDF providers. Describe the quality information:

The Lead Agency collects quality information on licensed CCDF center and family 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 for ratings of High Quality or High Quality Plus.

ii. Licensed non-CCDF providers. Describe the quality information:

iii. License-exempt center-based CCDF providers. Describe the quality information:

iv. License-exempt FCC CCDF providers. Describe the quality information:

v. License-exempt non-CCDF providers. Describe the quality information:

vii. Relative child care providers. Describe the quality information:

viii. Other. Describe:

2.3.7 Monitoring and inspection reports on consumer education website

Lead Agencies must 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. These reports must include the 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. A full report covers everything in the monitoring visit, including areas of compliance and non-compliance. If the state does not produce any reports that include areas of compliance, the website must include information about all areas covered by a monitoring visit (e.g., by posting a blank checklist used by monitors).

The reports must be in plain language or provide a plain language summary, as defined by the state or territory, 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.

Certify by responding to the questions below:

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a. Does the Lead Agency post? (check one):

i. Full monitoring reports that include areas of compliance and non-compliance.

ii. Monitoring reports that include areas of non-compliance only, with information about all areas covered by a monitoring visit posted separately on the website (e.g., a blank checklist used by monitors). Note: This option is only allowable if the state/territory does not produce monitoring reports that include both areas of compliance and non-compliance. If checked, provide a direct URL/website link to the website where a blank checklist is posted.

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b. Check to certify that the monitoring and inspection reports and, if necessary, their plain language summaries include:

Date of inspection

Health and safety violations, including those violations that resulted in fatalities or serious injuries occurring at the provider. Describe how these health and safety violations are prominently displayed:

Monitoring and inspection reports are posted for all provider types that are regulated regardless of being CCDF eligible or not. The licensing reports for individual providers are found by entering and searching the provider facility name on <https://childcarelicensing.utah.gov/parents-and-public/child-care-facility-record/>. These reports include results of required announced and unannounced inspections and inspections due to substantiated complaints. The monitoring and inspection reports available to the public include summaries 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 is 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 at the top of every facility report that displays any health and safety violations, including any fatalities or serious injuries and if the finding was corrected.

A minimum of 3 years of results, where available.

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c. How and where are reports posted in a timely manner? Specifically, provide the Lead Agency's definition of "timely" and describe how it ensures that reports and/or summaries are posted within its timeframe. Note: While Lead Agencies may 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.

i. Provide the direct URL/website link to where the reports are posted.

Reports are posted on the Facility Record at <https://childcarelicensing.utah.gov/parents-and-public/child-care-facility-record/>. A link to each provider's report is also found on the providers' marketing page on <https://careaboutchildcare.utah.gov>.

ii. Describe how the Lead Agency defines timely posting of monitoring reports.

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.

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d. Monitoring and inspection reports or the summaries must be in plain language to meet the CCDF regulatory requirements (98.33 (a)(4)).

- i. Provide the Lead Agency's definition of plain language.

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 of 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 the 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.

- ii. Describe how the monitoring and inspection reports or the summaries are in plain language.

Monitoring and inspection reports are written in plain language. For example, see <https://ccl.utah.gov/ccl/#/facilities/88061>.

- e. Describe the process for correcting inaccuracies in reports (98.33 (a)(4)).

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.

- f. Describe the process for providers to appeal the findings in reports. Description of the process should include the time requirements and timeframes for:

- filing the appeal
- conducting the investigation
- 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. The manager will revise all inspection documents and rule violations, discuss the appeal with the licensor and verify the timeframes to be prepared for the appeal hearing. After the appeal is conducted, and if changes are required, the manager has two working days to make those changes and update the public report.

- g. Describe the process for maintaining monitoring and inspection 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.

2.3.8 Aggregate data on serious injuries, deaths, and substantiated abuse

Aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year must be posted by Lead Agencies on the consumer education website (98.33(a)(5)). The serious incident aggregate data should include information about any child in the care of a provider eligible to receive CCDF, not just children receiving subsidies.

This aggregate information on serious injuries and deaths must be separated by category of care (e.g. centers, family child care homes, and in-home care) and licensing status (i.e. licensed or license-exempt) for all eligible CCDF providers in the state. The information on instances of substantiated child abuse does not have to be organized by category of care or licensing status. Information should also include the total number of children regulated to be cared for by provider type and licensing status (81 FR, p. 67477), so that families can view the serious injuries, deaths, and substantiated cases of abuse data in context. The aggregate report should not include individual provider-specific information or names.

a. Certify by providing:

- i. 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.

- ii. 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.

- iii. 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.

b. Certify by checking below that the required elements are included in the Aggregate Data Report on

serious incident data that have occurred in child care settings each year.

[x] i. the total number of serious injuries of children in care by provider category/licensing status

[x] ii. the total number of deaths of children in care by provider category/licensing status

[x] iii. the total number of substantiated instances of child abuse in child care settings

[x] iv. the total number of children in care by provider category/licensing status

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

<https://childcarelicensing.utah.gov/parents-and-public/published-reports/>

2.3.9 *Referrals to local CCR&R agencies through consumer education website*

The consumer education website must include contact information on referrals to local child care resource and referral organizations (98.33 (a)(6)). 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:

Contact information on referrals to local child care resource and referral organizations is available to consumers on the parent information section of the Lead Agency's consumer education website at (<https://jobs.utah.gov/occ/parent/find/careaboutchildcare.html>) <https://jobs.utah.gov/occ/parent/find/careaboutchildcare.html>.

Additionally, the Lead Agency provides referrals to local child care resource and referral agencies on the public landing page of its Care About Childcare (CAC) website. 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 clicks on the [Contact your regional Care About Childcare agency](#) link (<https://jobs.utah.gov/occ/provider/caccontact.html>) <https://jobs.utah.gov/occ/provider/caccontact.html>), the consumer can see which CAC agency serves their county as well as the contact information for that agency.

2.3.10 *Lead Agency contact information on consumer education website*

The consumer education website must 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 (98.33 (a)(7)). Describe and include a website link to this information:

In addition to the contact information provided to the local Care About Childcare agencies, the consumer education website has a contact page for the Lead Agency at (<https://jobs.utah.gov/occ/contact.html>) <https://jobs.utah.gov/occ/contact.html>.

2.3.11 *Consumer education website link*

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

The Lead Agency's consumer education website is (<https://jobs.utah.gov>) <https://jobs.utah.gov>. Through this website, parents can link to (<https://careaboutchildcare.utah.gov>) <https://careaboutchildcare.utah.gov> to search for child care through a robust filter search and review their selected provider's licensing record and quality rating.

2.4 Additional Consumer and Provider Education Information of provider choices for parents

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:

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2.4.1 Information about child care and other services available for parents

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 Prekindergarten, 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. (<https://jobs.utah.gov/occ>) <https://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 the Lead Agency's consumer website, (<https://careaboutchildcare.utah.gov>) <https://careaboutchildcare.utah.gov>, and its partner agency. <https://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.

2.4.2 Required information provided to general public, and eligible parents

How does the Lead Agency provide the required information about the following programs and benefits to the parents of eligible children, the general public, and where applicable, providers? Certify by describing for each program listed below, at a minimum, what information is provided, how the information is provided, and how the information is tailored to a variety of audiences. Include any partners who assist in providing this information.

a. 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>) <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 TANF and other available aid is available on the OCC parent resource page at (<https://jobs.utah.gov/occ/parent/resources.htm>) <https://jobs.utah.gov/occ/parent/resources.html>.

b. Head Start and Early Head Start programs:

The Lead Agency provides information about Head Start and Early Head Start Programs on its OCC website at (<https://jobs.utah.gov/occ/parent/resources.html>) <https://jobs.utah.gov/occ/parent/resources.html>. This page includes a link to the Utah Head Start Association website, where parents can find more information about Head Start services. The Lead Agency's Care About Childcare (<https://careaboutchildcare.utah.gov>) <https://careaboutchildcare.utah.gov> website also allows consumers to search for Head Start and Early Head Start programs by name or by location radius. 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.

c. 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, (<https://211utah.org>) <https://211utah.org>, and its website (<https://jobs.utah.gov/housing/scso/seal/heat.html>) <https://jobs.utah.gov/housing/scso/seal/heat.html>. Additionally, the OCC parent resource page, (<https://jobs.utah.gov/occ/parent/resources.html>) <https://jobs.utah.gov/occ/parent/resources.html>, contains relevant links to LIHEAP. Providers may also access information in some training classes where community resources are discussed and information about them is included in course content.

d. Supplemental Nutrition Assistance Program (SNAP):

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>) <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 OCC parent resource page at (<https://jobs.utah.gov/occ/parent/resources.html>) <https://jobs.utah.gov/occ/parent/resources.html>

<https://jobs.utah.gov/occ/parent/resources.html>.

[x] e. 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>) <https://jobs.utah.gov/customereducation/services/foodstamps/index.html>. Families, providers and the general public may also access information about WIC through (<https://jobs.utah.gov/occ/parent/resources.html>) <https://jobs.utah.gov/occ/parent/resources.html> and (<https://211utah.org>) <https://211utah.org>. The Lead Agency provides information about WIC to parents at the time of application for child care assistance through the universal application.

[x] f. 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://jobs.utah.gov/occ/parent/resources.html>) <https://jobs.utah.gov/occ/parent/resources.html>

[x] g. 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 consumer education website, (<https://jobs.utah.gov>) <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 OCC parent resource page at (<https://jobs.utah.gov/occ/parent/resources.html>) <https://jobs.utah.gov/occ/parent/resources.html>.

[x] h. Programs carried out under IDEA Part B, Section 619 and Part C:

The Lead Agency provides 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://jobs.utah.gov/occ/parent/resources.html>) <https://jobs.utah.gov/occ/parent/resources.html>. This information is available to parents, providers and the public.

2.4.3 Information available on physical health and development

Describe how the Lead Agency makes information available to parents, providers and the general public on research and best practices concerning children's development, including physical health and development, particularly healthy eating and physical activity and information about successful parent and family engagement. The description should include:

- what information is provided
- how the information is provided
- how the information is tailored to a variety of audiences, including:
 - o parents

- o providers
- o the general public
- any partners in providing this information Description:

The Lead Agency makes information about research and best practices in child development available to parents, providers and the public primarily through the Office of Child Care website and the CAC Agencies. A number of resources are available on the OCC 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 through the health department is called TOP STAR. This ten-hour course is targeted to child care providers and focuses on teaching children healthy physical habits and is targeted to address the issue of childhood obesity. Providers may use the ten hours completed to take this course for career ladder credit in the CAC professional development system.

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, and the Office of Child Care website. 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.

2.4.4 Information on social-emotional, behavioral issues and mental health

Describe how information on the Lead Agency’s policies regarding the social-emotional and behavioral issues and 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. Description:

The Lead Agency provides information to families on the social and emotional development and mental health of young children through its website and its contracts with The Children’s Center and the CAC agencies.

The Children's Center provides parents and child care providers with consultation services by phone, email, virtual platforms and/or face-to-face meetings at child care locations free of charge. Discussions include exchanging information about developmental expectations, concerning behavior, current and historical stressors to children and caregivers. Consultants support child care providers and parents by problem solving next steps to gather more information often including observations within their child care setting by consultants and child care staff. As needed, consultants make individualized recommendations to support the child and caregivers with additional research-based behavioral supports, strategies and resources. Consultants have specialized and on-going training and receive regular, reflective consultation from DOPL licensed clinicians. Frequently parents and child care providers are given referrals to early intervention, local school districts, speech therapy and/or clinical treatment at The Children's Center or other community mental health facilities. Child care providers are often referred to CAC training and other specialized webinars that The Children's Center and other entities provide.

Families also receive information through the CAC agencies. These agencies provide 12, ten-hour based training courses available to providers and 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, the Office of Child Care provides extensive information to parents on child development through its "Child Development," resource page located on the CAC website.

Additionally, Infant/Toddler and Preschool Early Childhood Guidelines are available to parents and the general public on the Department of Workforce Services website. Parents may also obtain them through community partners free of charge at community events or through early childhood organizations. The Lead Agency provides them to the CAC agencies and other partners for distribution to parents when requested. 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.

Lastly, the Lead Agency promotes the use of the Ages and Stages Questionnaire-Social and Emotional screening tool through a contract with Help Me Grow. Parents receiving subsidy are contacted by Help Me Grow when an application for subsidy is approved to offer screening support for their children. This tool focuses on social and emotional development and helps parents assess whether or not their child may need additional support in this area. Help Me Grow provides additional support to parents in helping them understand the importance of development in this area and how to properly complete the assessment. They also interpret the scores and follow up with parents to share the results. If the screening indicates the child may need services they are able to help a parent navigate the system of supports to serve their child appropriately.

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, the Office of Child Care provides extensive information to providers on child development through its website.

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.

Lastly, 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, The Office of Child Care provides extensive information to the public on child development through its website.

2.4.5 *Policies preventing suspension and expulsion*

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's primary investment has been to contract with The Children's Center, a nonprofit early childhood mental health organization since 2004 to provide consultative services to child care providers, early childhood programs and parents.

The Children's Center early childhood consultation team provides consultation services to assist both parents and providers in a number of ways. The Children's Center provides context to providers and parents in understanding typical, developmentally appropriate behavior that may be perceived as misbehavior or when there may be behavior occurring that is not typical and is concerning to the parent or provider. 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.

Child care programs, parents or clinicians may contact The Children's Center consultation team 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 therapeutic preschool 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 training 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.

In response to the emphasis on suspension and expulsion in the CCDBG Act of 2014, the Lead Agency in collaboration with The Children's Center 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. One of the primary recommendations of the group was that The Children's Center early childhood mental health consultation program for child care programs be expanded into all areas of the state and into family child care. Until that time these services were available only to center based programs along the Wasatch front and in limited counties. The following describes additional services that have been added, areas that have been expanded to and an approximate timeline for services to be available in all areas.

In preparation for state-wide expansion efforts delayed somewhat by COVID19, The Children's Center opened and staffed a dedicated warm line in November 2020 specifically for CAC employees to call in for coaching support and social/emotional resources to support children and families that they encounter through their work.

The Children's Center will continue intervention services through child-focused, on-site observations and follow-up with feedback, behavioral strategies, resources and referrals to community resources. In addition, consultants will augment existing prevention services [i.e. social/emotional training and technical assistance] through 4-6 month, program-focused social/emotional coaching cycles designed to increase awareness of child care providers and build their capacity to prevent challenging behavior and meet the social/emotional needs of children in their care.

In July of 2020, services were expanded into the southern portion of the state in what is called the CAC Western region, which encompasses ten counties. Additional staff were added to allow The Children's Center services to extend north into Weber County. Both intervention and prevention services will expand geographically to include all 29 counties by fiscal year 2023. By FY 2022 services will be offered in the four major Wasatch Front counties where 70% of the state population resides and most of the rural counties south of the Wasatch front. By FY 2023 services will extend north of the state border and all counties with licensed child care providers will have access to child-focused intervention services and program-focused prevention services. By FY 2025 all family child providers state-wide and center-based infant-toddler classrooms will have access to these services in their counties. Phased in services are aligned with CAC service delivery areas and coordinated with early childhood councils and stakeholder groups where such exist. Program-focused social/emotional coaching cycles will offer an opportunity

to collect expulsion and suspension data from the participating programs to provide some limited base-line data from which to extrapolate data-informed direction for further prevention efforts.

Consultation and Social Emotional Coaching content is drawn heavily from the following: Center for Social/Emotional Foundations of Learning (CSEFL) pyramid model, Center of Excellence for Infant and Early Childhood Mental Health (Georgetown University), Zero to Three Organization.

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 and when they send information to parents regarding what quality child care is or other requests they may have. Other strategies utilized to promote developmental screening are explained in the next section of the plan.

2.5 Procedures for Providing Information on Developmental Screenings

Lead Agencies are required to provide information on developmental screenings to parents, the general public and, when applicable, child care providers. Information should include:

- Existing resources and services that the state can use in conducting developmental screenings and providing referrals to services for children who receive child care assistance.
- 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)).

This information about the resources can include 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 are required to provide this information to eligible families during CCDF intake and to child care providers through training and education (98.33(c)). Information on developmental screenings, as other consumer education information, should be accessible for individuals with limited English proficiency and individuals with disabilities.

2.5.1 Certify by describing:

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 ensures developmental screenings are a high-priority in Utah through its coordinated approach. The Lead Agency collects and disseminates information to parents and public and private providers for conducting developmental screenings through its website (<https://jobs.utah.gov/occ>) <https://jobs.utah.gov/occ> and partnerships with the Utah Department of Health Early Childhood Utah program (UDOH) and Help Me Grow Utah (HMGU). The Lead Agency contracts with UDOH and HMGU to support and coordinate efforts between parents and child care providers regarding performing developmental screenings for children throughout Utah. UDOH and HMGU have formed partnerships directly with parents, health care providers, the public, and public and private early care and education programs, including home and center-based child care programs.

Through this collaboration, parents, public and programs receive access to the following:

Ages and Stages Questionnaire, Developmental (ASQ-3) and Ages and Stages Questionnaire, Social/Emotional (ASQ:SE) screening tools and materials, including follow-up activities for children related to their screening results;

ASQ online database and tools, including "family access," giving families the opportunity to complete screenings online;

Training on the effective use of these screening tools through approved course options available to providers through the Utah Registry of Professional Development;

Knowledge on how and where to make effective child referrals based on indications of potential delay and need for further assessments and interventions;

Ongoing coordination between Baby Watch Early Intervention/Part C (Baby Watch), HMGU and Utah's birth through five early childhood system providers to smooth the transition period for children and their families when referrals and interventions are necessary; and

Ongoing technical support.

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 one-pager includes information on where providers and parents can access the ASQ-3 or ASQ:SE online or via paper to screen children. Community resources are provided and made readily available to parents or providers should concerns about a child's development arise after completing the screening and reviewing the scores too. Information on how to make a proper referral to Baby Watch early intervention services is provided to parents and programs as well.

If a child does not qualify for Baby Watch, the family is referred back to HMGU for connection to alternative community resources to help the child reach their developmental milestones. The Lead Agency coordinates with HMGU to conduct follow up 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, Developmental and Social/Emotional Questionnaire. HMGU hosts an online early childhood resource directory (<https://community.helpmegrowutah.org>) <https://community.helpmegrowutah.org> website that allows parents and providers to search resources by categories and location. The link to this website is included in the information sent to parents and providers. HMGU provides access to recorded in-services related to developmental screenings to everyone too.

Additionally, the Lead Agency partly funds Utah's Early Childhood Utah Advisory Council to ensure there are efforts to coordinate developmental screening practices across Utah's birth through five system. Due to these efforts, the ASQ-3 and ASQ:SE trainings are now embedded in the Utah Registry of Professional Development. This allows all birth through five public and private stakeholders and providers to register and receive ASQ training. By doing this, the Lead Agency is able to ensure Utah has a consistently training workforce that can effectively administer developmental screenings and coordinate with parents to respond to children's developmental screening scores in a timely and meaningful way.

Lastly, the Lead Agency supports Family, Friend and Neighbor (FFN) providers by encouraging screening and follow up care for children and their families.

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 Part B, 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 supports and resources to parents and child care providers regarding developmental screenings. Specifically, the Lead Agency, CAC, UDOH, HMGU and Baby Watch work together to increase developmental screenings across Utah and ensure proper follow up occurs when needed. Parents with concerns about their child's

development are referred to Baby Watch through the Lead Agency's website, UDOH and HMGU. The Lead Agency's website, (<https://jobs.utah.gov/occ/parent/resources.html>) <https://jobs.utah.gov/occ/parent/resources.html>, contains a link to UDOH, HMGU and Baby Watch. ([/jobs.utah.gov/customereducation/services/childcare/develop.htm](https://jobs.utah.gov/customereducation/services/childcare/develop.htm))
[/jobs.utah.gov/customereducation/services/childcare/develop.htm](https://jobs.utah.gov/customereducation/services/childcare/develop.htm)

The Lead Agency collaborates with HMGU to contact parents who qualify for subsidy and provides information to them regarding developmental screening. A HMGU staff member supports parents in completing the online ASQ-3 or ASQ:SE screenings. After the screening, HMGU staff share the screening scores with parents. HMGU works with parents to determine whether their children are developing typically, need monitoring, or show a need for potential intervention.

Depending on the screening results, HMGU is contracted with the Lead Agency to follow the procedure listed below:

Staff members share resources with parents for typically developing children to keep their development moving forward;

In the event that children score in the "monitoring" zone, staff connect parents to informational resources and local community resources and services, applicable to the situation and parent, which helps children reach appropriate developmental milestones;

If the results show that a child appears to be developing below what is considered typical, staff refers the child and parent to Baby Watch Early Intervention services; and Baby Watch formally assesses all children referred to its program:

a. If a child qualifies, intervention services are provided to the child and family; and

b. If the child does not qualify, the family is referred back to HMGU for connection to alternative community resources and early intervention services to ensure the child reaches its developmental milestones.

UDOH is another resource child care providers can access for developmental screening training and technical support on the Lead Agency's website. Through a contract, UDOH provides ASQ-3 and ASQ:SE training to child care providers through the Utah Registry of Professional Development system. After ASQ training is completed, providers can enroll, at no cost, in the UDOH ASQ Enterprise Online Account. Enrollment includes the physical screening kits for the ASQ-3 and ASQ SE:2 in English and Spanish and the ability to facilitate parent completed child screens online along with technical assistance and data reports. The training includes information on where child care providers can refer parents with young children with scores in the monitoring or below cutoff zones, such as pediatricians, Medicaid/CHIP, HMGU, Baby Watch, MIECHV funded Home Visiting, Head Start, WIC, Part B, and other related early intervention community services.

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.

The following statement is on the Lead Agency's website at (<https://jobs.utah.gov/customereducation/services/childcare/develop.html>) <https://jobs.utah.gov/customereducation/services/childcare/develop.html>. When parents apply for child care subsidy, this statement is also included in the customer education section of the application:

Developmental screenings are an easy way to track milestones as your child grows! They can help you see your child's strengths and identify areas they could use a little practice. Completing a developmental screening can also lead you to activities, information, and resources to support your child's development. If you are interested in learning more or completing a free developmental screening, visit helpmegrowutah.org or call a Help Me Grow Utah staff member at 801-691-5322.

If you are approved for child care assistance, DWS will share your case name, children's names ages 0-71 months, mailing address, phone number, and email (if provided) with Help Me Grow Utah. Help Me Grow Utah will then contact parents to provide resource information about child development and offer free developmental screenings for children in your home 0-71 months.

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 well-being. It also states that a representative from HMGU will contact them within 90 days. The Lead Agency collaborates with HMGU to contact all parents that qualify for subsidy to provide support in completing developmental screenings for their children. HMGU contacts parents via phone call, text and email.

After that, information is disseminated twice yearly to child care providers that receive child care subsidy. The Lead Agency sends two flyers, one to the provider and one for parents, via email regarding the importance of developmental screenings. Programs distribute the parent flyer on the importance of developmental screenings to parents. The flyer to both provider and parents provides information on the importance of screening, connecting to online screening tools, and linking parents to a newsletter that provides monthly activities and resources. Resources for developmental screening are available to parents at no cost through the HMGU website, the Lead Agency's website and through the following community partners: 1) CAC agencies, 2) UDOH, and 3) Baby Watch.

Through a secure upload from the Lead Agency, a monthly file with parent information is sent to HMGU to connect with all new subsidy parents to provide information, access to screening, and care coordination to all families that request these services. HMGU has a standard protocol of multiple contacts through texting platforms, phone calls and emails with families. When appropriate, HMGU refers children and their parents to Baby Watch, pediatricians or early intervention specialists for services. Additionally, HMGU provides a resource link to all parents receiving subsidy:

(<https://jobs.utah.gov/customereducation/services/childcare/develop.html>)

<https://jobs.utah.gov/customereducation/services/childcare/develop.html>.

HMGU provides the Lead Agency additional parent support from 5:00 pm to 6:30 pm to improve services to families that need support outside of regular working hours to provide screening and coordinate services for parents and providers.

UDOH advertises training on the Lead Agency's website, (<https://jobs.utah.gov/jsp/cac/catalog>) <https://jobs.utah.gov/jsp/cac/catalog>, to inform child care providers about the ASQ training available through UDOH. Through funding from HRSA ECCS Impact grant, UDOH established three Place Based Communities in Utah to identify parents with children in need for screening services. UDOH supports these agencies with information on how to help parents screen their children using the online ASQ Enterprise system. UDOH works with the Office of Home Visiting and three Local Health Districts to fund home visitors to provide in-home services to low-income families who may receive child care subsidies. Additionally, UDOH contracts with HMGU to train staff at 13 Local Health Districts and works with WIC to increase awareness of the importance of developmental screenings. Developmental screening is a goal on the Title V state performance measures and families are being screened at intake at the 13 Local Health Districts.

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.

Parents and providers receiving CCDF can easily access all the resources and services free of charge through the Lead Agency and its collaborative partners to obtain developmental screenings for CCDF children at risk for cognitive and other developmental delays.

e. How child care providers receive this information through training and professional development.

Care providers receive training and professional development in the following ways:

The Lead Agency funds training classes through Utah Registry of Professional Development and CAC to teach providers how to use the ASQ-3 and ASQ:SE screening tools, how to support parents in completing those screening tool, how to input data as an "administering agency", and how to support parents and families in identifying areas where intervention may be needed

The Lead Agency contributes to the funding of a position at UDOH for a staff member to provide training and 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, UDOH provides support and an ASQ screening kit free of charge to staff to use with enrolled families;

Family providers receive technical assistance from HMGU and UDOH on how to access the ASQ website online and how to utilize the questionnaire, tools, resources and activities available to them;

Through the HRSA ECCS Impact funding, UDOH contracts with HMGU to provide ASQ training to staff at Utah's 13 Local Health Districts (LHD)

UDOH provides training throughout the state and regularly shares developmental screening training information through its networks. For example, Child Care Licensing sharing information about the UDOH ASQ training with child care providers on its website;

Through the Utah Registry of Professional Development, the Lead Agency has made developmental screening training available to all birth through five early care and education stakeholders. Providers and the public can register and receive developmental screening training at any time throughout the state.

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

Although there is not a specific citation, this information is available in the terms of the contractual agreements the Lead Agency has with UDOH and HMGU.

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 (98.33 d). Please note that if the consumer statement is provided electronically, Lead Agencies should consider ensuring the statement is accessible to parents, including parents with limited access to the internet, and that parents have a way to contact someone to address their questions.

2.6.1 Certify by describing:

a. How and when the Lead Agency provides parents receiving CCDF funds with a consumer statement identifying the requirements for providers and the health and safety record of the provider they have selected.

When a customer applies for child care, the child care application has a child care customer education section which includes a consumer statement about child care provider requirements. The application is available in electronic and hard copy form. Customers are directed to the Care About Childcare website where they can learn more about the provider they have selected and view their health and safety record with Child Care Licensing.

b. Certify by checking below the specific information provided to families either in hard copy or electronically. Note: The consumer statement must include the eight requirements listed in the table below.

Health and safety requirements met by the provider

Licensing or regulatory requirements met by the provider

- [x] Date the provider was last inspected
- [x] Any history of violations of these requirements
- [x] Any voluntary quality standards met by the provider
- [x] How CCDF subsidies are designed to promote equal access
- [x] How to submit a complaint through the hotline
- [x] How to contact a local resource and referral agency or other community-based organization to receive assistance in finding and enrolling in quality child care

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

Selecting a Child Care Provider

The child care assistance program supports families to have equal access to child care. You have the right to select the type of child care provider which best meets your family needs. The provider you have selected must comply with certain health and safety requirements to be eligible.

Care About Childcare at(<https://jobs.utah.gov/occ/cac.html>) <https://jobs.utah.gov/occ/cac.html> 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. There are tutorial videos in both English and Spanish to help you search for a provider at (<https://jobs.utah.gov/occ/cachelp/cactuto.html>) <https://jobs.utah.gov/occ/cachelp/cactuto.html>.

To find out more information on the provider you have chosen, search for your provider at (<https://jobs.utah.gov/jsp/cac/search>) <https://jobs.utah.gov/jsp/cac/search>. Once you click on your provider's name, 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 will also be able to view their quality rating. You may find more information about quality ratings by clicking on "Quality Rating" under the program name and at (<https://jobs.utah.gov/occ/cachelp/onepager.pdf>) <https://jobs.utah.gov/occ/cachelp/onepager.pdf>.

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 801-707-4188.

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>) <https://jobs.utah.gov/mycase> or by contacting the Eligibility Service Center, 801-526-0950 or 866-435-7414.

3 Stable Child Care Financial Assistance for 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 period, 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 no fewer than

3 months if the Lead Agency exercises the option to discontinue assistance, and policies for the graduated phase-out of assistance. In addition, the Lead Agency is also required to describe procedures for the enrollment of children experiencing homelessness and, if applicable, children in foster care.

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 or, similarly, parents enrolled in school can have eligibility extended to allow parents to finish their school 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.

Note: When asked for citations, responses can include state statute, regulations, administrative rules, policy manuals or policy issuances. See the Introduction on page 4 for more detail.

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); 98.20(a)).

3.1.1 Eligibility criteria: Age of children served

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

a. The CCDF program serves children from (weeks/months/years)

0

Through 12 years (under age 13).

12 (or next review when child turns 13)

b. Does the Lead Agency allow CCDF-funded child care for children ages 13 and older but below age 19 who are physically and/or mentally incapable of self-care (658E(c)(3)(B); 658P(3))?

No

Yes

The upper age is (may not equal or exceed age 19).

18

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 ages 13 and older but below

age 19 who are under court supervision ((658P(3); 658E(c)(3)(B))?)

No

Yes

The upper age is (may not equal or exceed age 19).

18

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

i. “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.

ii. “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: Reason for care

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a. How does the Lead Agency define the following terms for the purposes of determining CCDF eligibility?

i. Define what is accepted as “Working” (including activities and any hour requirements):

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 employment in the labor market, on-the-job training or being self-employed provided federal or state law does not prohibit the occupations. 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.

ii. Define what is accepted as “Job training” (including activities and any hour requirements):

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.

iii. Define what is accepted as “Education” (including activities and any hour requirements):

Educational programs are defined as participating in a program or course whose intent is to improve the skills and 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 to make progress in the training or education program. Progress is defined as that the course will be completed within the 24-month time limit. For customers enrolled in a formal high school or GED program, the minimum work requirements may be waived. For customers enrolled in a training or education activity approved by the Lead Agency and funded through WIOA or certain TANF sponsored programs, the minimum work requirements may be waived. For all other training or education activities, the Lead Agency requires that minimum work requirements are met.

iv. Define what is accepted as “Attending” (a job training or educational program) (e.g. travel

time, hours required for associated activities such as study groups, lab experiences, time for outside class study or completion of homework):

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.

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b. Does the Lead Agency allow parents to qualify for CCDF assistance on the basis of education and training without additional work requirements?

Yes

No. If no, describe the additional work requirements.

The individual must also meet the minimum work requirement described in 3.1.2(i). 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. An exception to this policy is allowed for parents enrolled in a formal program and working towards completion of a high school diploma or GED. Another exception to the work requirement is allowed when a customer is enrolled in WIOA or certain TANF sponsored training or educational programs approved by the Lead Agency.

c. Does the Lead Agency provide child care to children who receive, or need to receive protective services?

No

Yes. If yes:

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

The Lead Agency defines protective services as children in the Utah foster 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 (98.20 (a)(3)(ii)(A))?

No

Yes

iv. Does the Lead Agency waive the eligible activity (e.g., work, job training, education, etc.) requirements for cases in which children receive, or need to receive, protective services on a case-by-case basis?

No
 Yes

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

No
 Yes

3.1.3 Eligibility criteria: Family Income Limits

Note: The questions in 3.1.3 relate to initial determination. Redetermination is addressed in 3.1.8 and 3.2.5.

a. How does the Lead Agency define “income” for the purposes of eligibility at the point of initial determination?

For purposes of eligibility, income includes both earned and unearned income. The Lead Agency defines earned income as compensation in cash for which a person performs a service. Unearned income is defined as compensation in cash 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.

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b. Provide the CCDF income eligibility limits in the table below **at the time of initial determination**. Complete columns (i) and (ii) based on maximum eligibility at initial entry into CCDF. Complete columns (iii) and (iv) *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. If the income eligibility limits are not statewide, please complete the chart below using the most populous area of the state or territory (defined as the area serving highest number of CCDF children) and respond to c. below the table.

	(i)	(ii)	(iii)	(iv)
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 (iii) by (i), multiply by 100] Income Level if Lower than 85% of Current SMI
1	NA	NA	N/A	N/A
2	5709	4853	N/A	N/A
3	7053	5995	N/A	N/A
4	8396	7137	N/A	N/A
5	9739	8278	N/A	N/A

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)).

Income limits are statewide.

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d. State Median Income (SMI) source and year

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-im-2020-02-state-median-income-estimates-for-optional-use-fy2020-and-mandatory-use-fy2021?utm_medium=rss .

Year: 2023 Source:

https://www.acf.hhs.gov/sites/default/files/documents/ocs/COMM_LIHEAP_Att1SMITable_FY2024.pdf

d. Identify the most populous area of the state (defined as the area serving the highest number of CCDF children) used to complete the chart in 3.1.3 b.

Salt Lake County

Amended: Effective Date 10/01/2023

e. What is the effective date for these eligibility limits reported in 3.1.3 b?

10/1/2023

Amended: Effective Date 10/01/2023

f. Provide the citation or link, if available, for the income eligibility limits.

https://jobs.utah.gov/occ/provider/ccptable4_23oct.pdf

3.1.4 Family asset limit

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)).

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 Additional eligibility conditions

Describe any additional eligibility conditions or rules, which are applied by the Lead Agency (98.20(b)) during:

a. eligibility determination.

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.

b. eligibility redetermination.

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.

3.1.6 Continuity for Working Families

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)). Lead Agencies are reminded that authorized child care services are not required to be strictly based on the work, training, or education schedule of the parent (98.21 (g)). 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.

a. Coordinating with Head Start, Prekindergarten, other early learning programs, or school-age programs to create a package of arrangements that accommodates parents’ work schedules

b. Inquiring about whether the child has an Individualized Education Program (IEP) or Individual Family Services Plan (IFSP)

c. Establishing minimum eligibility periods longer than 12 months

d. Using cross-enrollment or referrals to other public benefits

e. 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

f. Working with entities that may provide other child support services.

g. Providing more intensive case management for families with children with multiple risk factors

h. 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

i. 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 How the Lead Agency accounts for 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) and 98.21(c)). 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 state median income (SMI) (calculated on a monthly basis) from seasonal employment or other temporary work schedules, do not affect eligibility or family co-payments (98.21(c)). Check the processes that the Lead Agency uses to take into account irregular fluctuations in earnings.

- a. Average the family's earnings over a period of time (e.g. 12 months).
- b. Request earning statements that are most representative of the family's monthly income.
- c. Deduct temporary or irregular increases in wages from the family's standard income level.
- d. Other. Describe:

3.1.8 Eligibility criteria at the time of eligibility determination and redetermination

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)). Lead Agencies should note that there are no federal requirements for specific documentation or verification procedures. Check the information that the Lead Agency documents and verifies at initial determination and redetermination and describe, at a minimum, what information is required and how often. Check all that apply.

a. Applicant identity

Required at Initial Determination

Required at Redetermination

Information and Description

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.

b. Applicant's relationship to the child

Required at Initial Determination

Required at Redetermination

Information and Description

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.

c. Child's information for determining eligibility (e.g., identity, age, citizen/immigration status)

Required at Initial Determination

Required at Redetermination

Information and Description

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 Systematic Alien Verification for Entitlements (SAVE) system. Citizenship or immigration status may be verified at review if a change is reported. All documentation is maintained electronically through secure eligibility systems or databases. Verifications submitted by applicants are scanned and stored in an electronic imaging system.

d. Work

Required at Initial Determination

Required at Redetermination

Information and Description

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.

e. Job training or educational program

Required at Initial Determination

Required at Redetermination

Information and Description

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.

f. Family income

Required at Initial Determination

Required at Redetermination

Information and Description

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.

g. Household composition

Required at Initial Determination

Required at Redetermination

Information and Description

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.

h. Applicant residence. Describe:

Required at Initial Determination

Required at Redetermination

Information and Description

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 Utah 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.

i. Other. Describe:

Required at Initial Determination

Required at Redetermination

Information and Description

Customers must report their choice of provider at initial application; the start date of care and names of children in care must also be verified by the provider at the time of initial application.

3.1.9 Strategies for timely eligibility determinations

Which strategies, if any, will the Lead Agency use to ensure the timeliness of eligibility determinations upon receipt of applications? Check all that apply.

a. 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. The applicant may turn in verifications within the second thirty days of the application period without having to reapply. If eligible, the payment is prorated from the date all verifications are received.

b. Track and monitor the eligibility determination process

c. 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.

d. None

3.1.10 Exception to TANF work requirements

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.

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:

i. "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.

ii. "Reasonable distance":

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

iii. "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.

iv. "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?

i. In writing

ii. Verbally

iii. 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 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 co-payments (98.45(k)(2)). Questions 3.2.1 through 3.2.4 address co-payments during the initial/entry-eligibility period.

To help families transition off child care assistance, Lead Agencies may gradually adjust co-pay amounts for families determined to be eligible under a graduated phase-out. Question 3.2.5 addresses co-payments during the graduated phase-out period.

3.2.1 CCDF payments according to family size

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

care.

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a. Complete the chart based on the most populous area of the state or territory (defined as the area serving the highest number of CCDF children, aligned to the response provided in 3.1.3 e).

	<i>(a)</i>	<i>(b)</i>	<i>(c)</i>	<i>(d)</i>	<i>(e)</i>	<i>(f)</i>
Family size	Lowest initial or First Tier Income Level where family is first charged co-pay (greater than \$0)	What is the monthly co-payment for a family of this size based on the income level in (a)?	What percentage of income is this co-payment in (b)?	Highest initial or First Tier Income Level before a family is no longer eligible.	What is the Monthly co-payment for a family of this size based on the income level in (d)?	What percentage of income is this co-payment in (d)?
1	N/A	N/A	N/A	N/A	N/A	N/A
2	1526.01	\$15	1%	4511	\$280	6.5%
3	1919.01	\$19	1%	5574	\$346	6.5%
4	2313.01	\$23	1%	6635	\$412	6.5%
5	2706.01	\$27	1%	7697	\$478	6.5%

b. If the sliding-fee scale is not statewide (i.e., county-administered states):

- i. N/A. Sliding fee scale is statewide
- ii. Identify the most populous area of the state (defined as the area serving the highest number of CCDF children) used to complete the chart above.
Salt Lake County
- iii. Describe how many jurisdictions set their own sliding-fee scale (98.16(i)(3)).
N/A

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c. What is the effective date of the sliding-fee scale(s)?

February 1, 2023

Amended: Effective Date 02/01/2023

d. Provide the link(s) to the sliding-fee scale:

https://jobs.utah.gov/occ/provider/ccptable4_23.pdf

Amended: Effective Date 02/01/2023

3.2.2 Family contribution calculation

How will the family’s contribution be calculated, and to whom will it be applied? Check all that apply under a. or b.

a. The fee is a dollar amount and (check all that apply):

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

b. The fee is a percent of income and (check all that apply):

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

3.2.3 Other factors to determine family's co-payment

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 co-payments (98.45(k)(2)).

No

Yes. If yes, check and describe those additional factors below.

a. Number of hours the child is in care. Describe:

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

c. Other. Describe:

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3.2.4 Waiving family contributions/co-payments

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, on a case-by-case basis, 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.

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

Yes, the Lead Agency waives family contributions/co-payments. If yes, identify and describe which families have their family contributions/co-payments waived.

a. Families with an income at or below the Federal poverty level for families of the same size. Describe the policy and provide the policy citation.

Copayments are waived for all families with countable income at or below the federal poverty level based on household size. Families receiving TANF are not subject to a copayment. Families transitioning off of TANF due to earnings are not subject to a copayment during the 6-month transition period. DWS Eligibility Manual, Section 620-3.

https://jobs.utah.gov/Infosource/eligibilitymanual/600_Issuances_and_Payments/620-3_Income_Tests_-_ESCC.htm

b. Families who are receiving or needing to receive protective services on a case-by-case basis, as determined by the Lead Agency for purposes of CCDF eligibility. Describe the policy and provide the policy citation.

c. Families meeting other criteria established by the Lead Agency. Describe the policy.

3.2.5 Graduated phase-out of assistance at redetermination

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

Lead Agencies that establish initial family income eligibility below 85 percent of state median income (SMI) are required to provide 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 (98.21 (b)(1)). 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.

Lead Agencies that provide a graduated phase-out must implement a two-tiered eligibility threshold, with the second tier of eligibility (used at the time of eligibility redetermination) to be set at:

(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 co-payment restrictions, which do not apply to a graduated phase-out. To help families transition from child care assistance, Lead Agencies may gradually adjust co-pay 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.

- 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. (If checked, skip to subsection 3.3)

The Lead Agency sets the second tier of eligibility at 85 percent of SMI.

- A. Describe the policies and procedures.
- B. 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.

- A. Provide the income level for the second tier of eligibility for a family of three:
- B. Describe how the second eligibility threshold:
 - 1. Takes into account the typical household budget of a low-income family:
 - 2. 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:
 - 3. Reasonably allows a family to continue accessing child care services without unnecessary disruption:

4. Provide the citation for this policy or procedure related to the second eligibility threshold:

b. To help families transition from assistance, does the Lead Agency gradually adjust co-payments for families eligible under the graduated phase-out period?

No

Yes

- i. If yes, describe how the Lead Agency gradually adjusts co-payments 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 3.4.3 of the Plan.)

No

Yes. Describe:

3.3 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. Other ways to give priority may include 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).

3.3.1 Increasing access for vulnerable children and families

Describe how the Lead Agency defines:

- 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.

3.3.2 Priority populations

Identify how the Lead Agency will prioritize or target child care services for the following children and families:

Note: If waiving co-payments is checked, Lead Agencies will need to provide further information

in question 3.2.4. Paying higher rates for accessing higher quality care is addressed in 4.3.3 and using grants or contracts to reserve spots is addressed in 4.1.6.

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a. Complete the table below to indicate how the identified populations are prioritized or targeted.

Population Prioritized	Prioritize for enrollment in child care services	Serve without placing on waiting list	Waive co-payments (on a case-by-case basis). As described in 3.2.4.	Pay higher rate for access to higher quality care	Using grants or contracts to reserve spots
Children with special needs	[x]	[x]	[]	[]	[]
Families with very low incomes	[x]	[x]	[x]	[]	[]
Children experiencing homelessness, as defined by the CCDF	[x]	[x]	[]	[]	[]
Families receiving TANF, those attempting to transition off TANF, and those at risk of becoming dependent on TANF (98.16(i)(4))	[x]	[x]	[x]	[]	[]

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b. If applicable, identify and describe any other ways the identified populations in the table above are prioritized or targeted.

Families with children who have special needs and require increased supervision may receive a higher subsidy payment rate for the child with special needs.

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 working with a homeless agency and do not meet the Employment Support Child Care work requirements or qualify for TANF. A referral must be provided by the recognized homeless agency to approve the Homeless Child Care program. Families may receive up to twelve months of child care to support activities including, but not limited to, employment, job search, training, shelter search, or working through a crisis situation.

Additionally, 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.

3.3.3 Other priority groups

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

N/A

3.3.4 Additional priority groups

Describe how the Lead Agency prioritizes services for the additional priority groups identified in 3.3.3.

N/A

3.3.5 Enrollment and outreach for families experiencing homelessness

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 technical assistance to child care providers and the appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (addressed in section 6), and (3) conduct specific outreach to families experiencing homelessness(658E(c)(3); 98.51).

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.

i. Lead Agency accepts applications at local community-based locations

ii. Partnerships with community-based organizations

iii. Partnering with homeless service providers, McKinney-Vento liaisons, and others who work with families experiencing homelessness to provide referrals to child care

iv. Other:

The Lead Agency has approved the "Supporting Children and Families Experiencing Homelessness" training series offered free of charge through the Head Start Early Childhood Learning and Knowledge Center within our professional development system. The eight modules are listed on the Lead Agency's approved course list for providers to access as a professional development resource 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)).

3.3.6 Grace period

Lead Agencies must establish a grace period that allows children experiencing homelessness 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)(l)(i)(l); 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)).

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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:

- i. Children experiencing homelessness (as defined by the CCDF Final Rule).

The Utah Department of Health and Human Services, Child Care Licensing, requires providers to ensure families with children ages 5 (not in school) and younger are in compliance with immunizations and health and safety requirements. Homeless families are given a 90-day grace period to provide immunization records and/or obtain immunizations. A written statement from the homeless family is adequate documentation for the 90-day exemption. 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 of immunizations needed for child care.

Child Care Licensing does not require child care programs to collect or report immunization information for children ages 5 and older who are attending school or will be entering school during the current year. The responsibility of reporting the immunization information is assigned to the schools where the children are attending. Families with children experiencing homelessness who need help with obtaining immunizations are referred to the local education agency's McKinney-Vento liaison to assist in obtaining the necessary immunizations. Children, including those experiencing homelessness, may attend school on a conditional enrollment for 30 calendar days while the family is working toward meeting immunization requirements. If needed, additional extensions may be granted by the school administrator.

Provide the citation for this policy and procedure.

R381-100-6. Rule Interpretation Manual: Administration and Children's Records

https://docs.google.com/document/d/1xfz6o17zNSRZniNMAhch8sIZPtIU_3b_MrvLxoTTduY/edit

- ii. Children who are in foster care.

The Utah Department of Health and Human Services, Child Care Licensing, requires providers to ensure families with children ages 5 (not in school) and younger are in compliance with immunizations and health and safety requirements. Foster care families applying for CCDF are given a 90-day grace period to provide immunization records and/or obtain immunizations for their foster care children. The foster care family completes a written statement for the provider; 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. Child Care Licensing does not require child care programs to collect or report immunization information for children ages 5 and older who are attending school or will be entering school during the current year. The responsibility of reporting the immunization information is assigned to the schools where the children are attending. Children, including those in foster care, may attend school on a conditional enrollment for 30 calendar days while the family is working toward meeting immunization requirements. If needed, additional extensions may be granted by the school administrator.

Provide the citation for this policy and procedure.

R381-100-6. Rule Interpretation Manual: Administration and Children’s Records
https://docs.google.com/document/d/1xfz6o17zNSRZniNMAhch8sIZPtIU_3b_MrvLxoTTduY/edit

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 meets regularly with Child Care Licensing and tribal agencies to share information and coordinate any updates to make sure a consistent message is shared with providers and families. 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. Additionally, information about homelessness and children experiencing homelessness are included in the required pre-service and annual training. Information about the three-month grace period for foster care families applying for CCDF is also included in the required pre-services and annual training.

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

No

Yes. Describe:

3.4 Continuity for Working Families

3.4.1 Minimum 12-month eligibility

The Lead Agency is required to establish a minimum 12-month eligibility and redetermination period:

- regardless of changes in income. Lead Agencies may not terminate CCDF assistance during the minimum 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 state median income (SMI).
- regardless of temporary changes in participation in work, training, or educational activities (658E(c)(2)(N)(i) and (ii)).

The Lead Agency may not terminate assistance prior to the end of the minimum 12-month period if a family experiences a temporary job loss or a temporary change in participation in a

training or educational activity. Any temporary change cannot have a time limit (e.g. 60 days, 90 days, etc.). A temporary change in eligible activity includes, at a minimum:

1. 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
2. any interruption in work for a seasonal worker who is not working
3. any student holiday or break for a parent participating in a training or educational program
4. any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program
5. 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
6. a child turning 13 years old during the minimum 12-month eligibility period (except as described in 3.1.1)
7. any changes in residency within the state, territory, or tribal service area

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a. Describe the Lead Agency’s policies and procedures related to providing a minimum 12- month eligibility period at initial eligibility determination and redetermination and provide a citation for these policies or procedures.

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. The recertification period begins with the first full month's of benefits and is set for a minimum of 365 days. 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. Additionally, when a child with an ongoing need for care is being added to a case during a review period, it is treated like a new application. If the household meets all eligibility requirements, the household’s review will be extended for a full 12 months. If the household does not meet all eligibility requirements, the child will not be approved for child care. The household will remain eligible until the end of the current review cycle for the children who were originally approved within the lock in certification period. Citation: DWS Financial/SNAP/Child Care Eligibility Manual 730

b. Describe and provide the citation for each of the minimum required elements listed below that are included in the Lead Agency’s definition of “temporary change”.

Minimum Required Element	Citation
--------------------------	----------

Minimum Required Element	Citation
<p>[x] i. 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. Describe or define your Lead Agency’s policy: A time-limited (temporary) absence from work: This could include 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 a spouse, child, or parent of the customer.</p> <p>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.</p> <p>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.</p>	<p>DWS Financial/SNAP/Child Care Eligibility Manual 210-10, 2a</p>
<p>[x] ii. Any interruption in work for a seasonal worker who is not working. Describe or define your Lead Agency’s policy: Temporary fluctuations in earnings: not meeting minimum work requirements for all employment due to an employer based reduction in hours or seasonal changes (e.g., summer break for teachers, IRS, etc.).</p>	<p>DWS Financial/SNAP/Child Care Eligibility Manual 210-10, 2b</p>
<p>[x] iii. Any student holiday or break for a parent participating in a training or educational program. Describe or define your Lead Agency’s policy: This may include a holiday or break in a customer’s educational or training schedule. While on a break from education or training activities, the customer may choose not to use their months against the 24 month training limit.</p>	<p>DWS Financial/SNAP/Child Care Eligibility Manual 210-10, 2c</p>
<p>[x] iv. Any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program. Describe or define your Lead Agency’s policy: A temporary change includes any reduction in employment hours and training or education hours while the parent continues to work or attend an educational program.</p>	<p>DWS Financial/SNAP/Child Care Eligibility Manual 210-10, 2d</p>
<p>[x] v. 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. Describe or define your Lead Agency’s policy: Continued assistance is allowed as long as the parent has a need for child care and the child continues to attend.</p>	<p>DWS Financial/SNAP/Child Care Eligibility Manual 210-10</p>

Minimum Required Element	Citation
<input checked="" type="checkbox"/> vi. A child turning 13 years old during the minimum 12-month eligibility period (except as described in 3.1.1). Describe or define your Lead Agency’s policy: Assistance for all Child Care programs may be provided to children through the end of the review period after their 13th birthday unless care is no longer needed for that child.	DWS Financial/SNAP/Child Care Eligibility Manual 210,4
<input type="checkbox"/> vii. Any changes in residency within the state, territory, or tribal service area. Describe or define your Lead Agency’s policy: N/A, all policy is administered statewide.	

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c. Provide any other elements included in the state’s definition of “temporary change”, including those implemented during the pandemic, and provide the citation.

When a parent moves into or out of the home which changes the single-parent or two-parent criteria, the household will remain eligible based on the locked in participation level for the remainder of the certification period. DWS Financial/SNAP/Child Care Eligibility Manual 210-10,3.

Additionally, a temporary change includes child care coverage when the child has not attended at least eight hours in a month, is still enrolled and is returning to care with the current provider. DWS Financial/SNAP/Child Care Eligibility Manual 625-9(1)(a), 210-10(4).

3.4.2 Assistance during the minimum 12-month eligibility period

Continuing assistance for “job search” and a Lead Agency’s option to discontinue assistance during the minimum 12-month eligibility period.

Lead Agencies have the option, but are not required, to discontinue assistance during the minimum 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.

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. This time period allows 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 state median income (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.

a. Does the Lead Agency consider seeking employment (engaging in a job search) an eligible activity at initial eligibility determination (at application) and at the minimum 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):

b. Does the Lead Agency discontinue assistance during the minimum 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 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 after each such loss or cessation:
- iii. How long is the job-search period (must be at least 3 months)?
- iv. Provide the citation for this policy or procedure.

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c. The Lead Agency may discontinue assistance prior to the next minimum 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 minimum 12-month redetermination. Check all that apply.

i. Not applicable

ii. 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.

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

The Lead Agency pays prospectively based on enrollment and has a minimum attendance requirement of eight hours. Providers are required to report if a child attended less than eight hours in the initial benefit month. Providers are required to report by the 25th of an ongoing month when a child has not attended at least eight hours and has not been able to communicate or get in touch with the family to determine if the child will be returning to child care. The case will auto close at the end of the current month. The parent has the following month to contact the agency to request the case be reopened from the return date if an ongoing need for child care exists.

B. Provide the citation for this policy or procedure:

DWS Financial/SNAP/Child Care Eligibility Manual, Section 625-9

iii. 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

iv. 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

Additionally, if a customer does not cooperate with an investigation to establish eligibility requirements were met at the time of the initial application or review, or countable income over 85% SMI is questioned, the case will be closed. The investigator must obtain requested documentation before the child care case can be reopened or approved again. DWS Eligibility Manual, Section 815-4

3.4.3 Change reporting during the minimum 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 (98.21 (e)).

Note: Responses should exclude reporting requirements for a graduated phase-out, which were described in question 3.2.5 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 3.4.2 of the Plan, they may require families to report a non-temporary change in work, training or educational activities (otherwise known as a parent's eligible activity).

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

- No
 Yes

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b. Any additional reporting requirements during the minimum 12-month eligibility period must be limited to items that impact a family's eligibility (e.g., income changes over 85 percent of state median income (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 minimum 12-month eligibility period. Check all that apply.

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

Customers are required to report the following changes within 10 days: (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.

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

Families are required to report changes of address within 10 days. To be eligible, families must reside in the state.

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

Families are required to report a change in providers within 10 days. Parents who change child care providers and do not report this change timely affect the Lead Agency's ability to pay the new provider.

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

i. Phone

ii. Email

iii. Online forms

iv. Extended submission hours

v. Postal mail

vi. Fax

vii. In-person submission

viii. Other. Describe:

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

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d. Families must have the option to voluntarily report changes on an ongoing basis during the minimum 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: adding a child to their case, 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 735-4, 750-2, 750-5A and 750-5B

3.4.4 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).

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. Check all that apply.

- i. Advance notice to parents of pending redetermination
- ii. Advance notice to providers of pending redetermination
- iii. Pre-populated subsidy renewal form
- iv. Online documentation submission
- v. Cross-program redeterminations
- vi. Extended office hours (evenings and/or weekends)
- vii. Consultation available via phone
- viii. Other:

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.

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. In addition to generally building the supply of child care for all families, this effort also supports equal access for CCDF eligible children to the priced child care market.

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.

Note: When asked for citations, responses can include state statute, regulations, administrative rules, policy manuals or policy issuances. See the Introduction on page 4 for more detail.

4.1 Maximize Parental Choice and Implement Supply Building Mechanisms

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 their 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 their 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 Child care certificate

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 (<https://careaboutchildcare.utah.gov>) <https://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, (<https://jobs.utah.gov>) <https://jobs.utah.gov> and (<https://careaboutchildcare.utah.gov>) <https://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.

4.1.2 Child care certificate and parent choice

Identify how the parent is informed that the child care 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.

- a. Certificate provides information about the choice of providers
- b. Certificate provides information about the quality of providers
- c. Certificate is not linked to a specific provider, so parents can choose any provider
- d. Consumer education materials are provided on choosing child care
- e. Referrals provided to child care resource and referral agencies
- f. Co-located resource and referral staff in eligibility offices
- g. Verbal communication at the time of the application
- h. Community outreach, workshops, or other in-person activities
- i. 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 Equal access for families receiving CCDF-funded child care

A core principle of CCDF is that families receiving CCDF-funded child care should have equal access to child care that is comparable to that of non-CCDF families (658E(c)(4)(A) and 98.45(a)).

- a. Describe how parents have access to the full range of providers eligible to receive CCDF:
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>) <https://careaboutchildcare.utah.gov>. Instructions are included on the application for parents who want to choose a Family, Friend or Neighbor provider. Parents eligible for CCDF have sufficient choice of the full range of providers, as demonstrated by the overwhelming rate of regulated providers that have complied with CCDF requirements and accept CCDF subsidy payments.
- b. Describe state data on the extent to which eligible child care providers participate in the CCDF system:
Utah 2021 Market Rate Study found that across the state and in rural and urban areas, the vast majority of all available child care slots in the market can be secured by eligible families using the DWS subsidy payment. Overall, 99.7 percent of Utah’s Center Licensed child care options accept the DWS subsidy payment for services. The acceptance rate for Family Licensed care is 98.8 at the state level. Residential Certified options have the lowest subsidy acceptance rate, though at 89.1 percent it still represents broad access to care for subsidy-eligible households.
- c. Identify any barriers to provider participation, including barriers related to payment rates and practices

– including for family child care and in-home providers - based on provider feedback and reports to the Lead Agency:

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 found ineligible for CCDF but child care services were provided while an application was pending.

4.1.4 Procedures to ensuring unlimited access

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>) <https://childcarelicensing.utah.gov/DWS%20Child%20Care/FFN%20Requirements.pdf> in the **Parents section.**

4.1.5 Allowing and limiting in-home care

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?
 No

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

a. Restricted based on the minimum number of children in the care of the provider to meet the Fair Labor Standards Act (minimum wage) requirements. Describe:

b. Restricted based on the provider meeting a minimum age requirement. Describe:

The provider must be at least 18 years of age.

c. Restricted based on the hours of care (i.e., certain number of hours, non-traditional work hours). Describe:

d. Restricted to care by relatives. (A relative provider must be at least 18 years of age based on the definition of eligible child care provider (98.2)). Describe:

e. 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.

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

g. 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.

4.1.6 Child care services available through grants or contracts.

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

No. If no, skip to 4.1.7

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 entities that receive contracts (e.g., shared services alliances, CCR&R agencies, FCC networks, community-based agencies, child care providers) and how grants or contracts are promoted by the Lead Agency:
- iii. How rates for contracted slots are set through grants and contracts and if they are viewed by providers as a vehicle for stabilizing payments.

b. Will the Lead Agency use grants or contracts for direct child care services to increase the supply or quality of specific types of care?

No

Yes. If yes, does the Lead Agency use grants or contracts to increase the supply and/or quality of child care programs serving the populations below? Check all that apply.

<i>Grants or Contracts are used in Child Care Programs that Serve</i>	<i>To increase the supply of care</i>	<i>To increase the quality of care</i>
i. Children with disabilities	<input type="checkbox"/>	<input type="checkbox"/>

<i>Grants or Contracts are used in Child Care Programs that Serve</i>	<i>To increase the supply of care</i>	<i>To increase the quality of care</i>
ii. Infants and toddlers	[]	[]
iii. School-age children	[]	[]
iv. Children needing non-traditional hour care	[]	[]
v. Children experiencing homelessness	[]	[]
vi. Children with diverse linguistic or cultural backgrounds	[]	[]
vii. Children in underserved areas	[]	[]
viii. Children in urban areas	[]	[]
ix. Children in rural areas	[]	[]
x. Other populations, please specify	[]	[]

4.1.7 Shortages in supply of high-quality child care

Lead Agencies must identify shortages in the supply of high-quality child care providers that meet parents’ needs and preferences. List the data sources used to identify any shortages and declines in the supply of care types that meet parents’ needs. Also describe the method of tracking progress to support equal access and parental choice (98.16(x)).

a. In child care centers.

The Lead Agency has identified shortages in the supply of high-quality licensed child care providers. The Lead Agency conducted an analysis of Utah’s child care capacity and published the findings in March 2020. This analysis, Child Care Access in Utah, determined that 54 percent of Utah children are living in families for which there is a child care need. The analysis concluded that regulated child care meets only 35 percent of the need for child care in Utah, leaving a gap of 65 percent. The methodology used to complete this analysis was thorough and considered a number of different factors to reach its conclusion. However, factors such as family choice and cultural preferences must be considered. It is clear from the data sources that Utah has utilized that not all families with a child care need select regulated child care and instead rely on smaller, informal child care arrangements. As a result, the gap is likely to be less than what has been determined within the context of the analysis.

With regard to geographic shortages, the Lead Agency analyzed capacity in each of Utah's 29 counties. Shortages for licensed center based care exist throughout the state but are most prominent in urban counties. The largest gaps that exist between the estimated number of children that have a child care need and the number of slots available are in six of Utah’s urban counties. There are also clear shortages throughout Utah's rural counties. In fact, four rural counties lack any regulated licensed child care providers. These four counties actually have the designation of frontier counties. Due to population in these areas, it is unlikely that this issue could be addressed with center based care options.

The Lead Agency has identified greater shortages among licensed child care providers serving infants and toddlers. Analyzing the vacancy rates in counties for infants and toddlers reveals seventeen counties that have a vacancy rate of less than 15 percent for this age group. The Lead Agency considers a vacancy rate of less than 15 percent of one revealing a supply shortage for the age group.

Utah also conducted the Utah Parental Child Care Survey in 2017 that informs parent choice. This survey revealed that many Utah families do not choose formal arrangements and prefer more informal settings. Many parents that responded to the survey indicated they were using unpaid child care arrangements. The Lead Agency has no way of knowing if this is due to affordability issues or if it is a decision affected by cultural beliefs or values. Although it is the case that the data shows a significant gap, it is unclear whether all parents would utilize formal care arrangements.

Utah has increased the number of licensed center based child care facilities in the state since the Child Care Access in Utah Analysis was published in March of 2020. The analysis shows that in 2019 there were 324 licensed child care center programs. In April of 2021 that number had grown to 357, or an increase of 33 center based programs. Although this is not enough to fill the gap established in 2020, progress has been made.

Utah launched its Quality Rating and Improvement System called the Child Care Quality System (CCQS) in October of 2019 in an effort to raise quality in programs and provide consumer education to parents regarding a program's status of quality. Currently, 97 licensed center based programs in Utah have a certified quality rating. Among them 27 programs achieved a rating of high quality and one achieved a rating of High Quality Plus. Specifically, among urban programs, 26 percent of programs have achieved a certified quality rating. Of those that have a rating, 29 percent achieved a rating of high quality or high quality plus. The participation rate among rural providers is greater, at 32 percent. Among those participating, 20 percent achieved a high quality rating. There is much work to do in Utah to provide support to programs to achieve high quality status. Due to COVID-19, Utah was hampered in its ability to rate programs because of the onsite observation component. However, in June of 2021 Utah opened the CCQS application system and began on-site observations in September of 2021, allowing for new ratings to be assigned November 2021.

The Lead Agency utilizes several data sources to identify shortages among high quality child care providers, including center based providers. To identify geographic shortages, the Lead Agency contracts with the 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 Care About Childcare website includes data from the Child Care Licensing's database to enable CAC agencies to continuously assess the capacity, enrollment and number of vacancies for all age groups the child care programs serve. Child care programs have the ability to access this database to update their facility information at any time. Each CAC Agency also engages in outreach activities and offers small incentives to programs to keep their program data current in the website. 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 the 2019 Utah Preschool Development Grant B-5 needs Assessment- (<https://jobs.utah.gov/occ/needsassessment.pdf>) <https://jobs.utah.gov/occ/needsassessment.pdf> and the Child Care Access In Utah Analysis released in March 2020- (<https://jobs.utah.gov/occ/ccaccess>) <https://jobs.utah.gov/occ/ccaccess>. 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.

b. In child care homes.

The Lead Agency has identified shortages in the supply of high-quality licensed family child care providers. With regard to geographic shortages, the Lead Agency analyzed capacity in each of Utah's 29 counties. The Child Care Access in Utah analysis published in March 2020 indicates there is a need for additional family child care providers in all but two counties, including urban counties. Shortages for licensed family care programs exist throughout the state, but especially in some rural counties where there would not be enough children to fill a licensed center based child care program. The Child Care Access Analysis shows the highest rate of children under six with a child care need by county. Of the ten counties that exhibit the highest percentage of children with a child care need, eight are rural counties. In fact, four rural counties lack any regulated licensed child care providers. These four counties actually have the designation of frontier counties. In many rural and all frontier counties, it is much more likely that family child care would be the only or a much more likely option to families living in these counties. A need for family child care in urban counties was also identified.

The Lead Agency has identified greater shortages among licensed family child care providers serving infants and toddlers. Analyzing the vacancy rates in counties for infants and toddlers reveals seventeen counties that have a vacancy rate of less than 15 percent for this age group. The Lead Agency considers a vacancy rate of less than 15 percent of one revealing a supply shortage for the age group.

Utah has increased the number of licensed family child care programs in the state since the Child Care Access in Utah Analysis was published in March of 2020. The analysis shows that in 2019 there were 654 licensed family child care programs. In April of 2021 that number had grown to 748, or an increase of 94 family child care programs. Although this is not enough to fill the gap established in 2020, progress has been made.

Utah's CCQS for family child care was preparing to launch a pilot program in March of 2020 when the COVID 19 pandemic interrupted the timeline for formal ratings to be provided to family child care providers. The Lead Agency has opened an application period for family child care that spans June 1, 2021-December 31, 2021. During this time period family child care providers will be able to apply for

a temporary rating of Foundation of Quality or Building Quality. Support from the local CAC agencies will be provided during this period to help family child care providers prepare for the regular system to open which will include an option for High Quality and High Quality Plus ratings. Many family providers are participating in Peer Learning Communities that will help them reflect on their current practices, set goals and work toward positive change before the full system opens that will include onsite observations. The first temporary rating will be published October 1, 2021. When the system opens with all four ratings, the Lead Agency will be able to better assess the number of high quality family providers in the state and will be able to focus efforts of support to areas that lack high quality family providers.

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 the 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 Care About Childcare website includes data from the Child Care Licensing's database to enable CAC agencies to continuously assess the capacity, enrollment and number of vacancies for all age groups the child care programs serve. Child care programs have the ability to access this database to update their facility information at any time. Each CAC Agency also engages in outreach activities and offers small incentives to programs to keep their program data current in the website. 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 the 2019 Utah Preschool Development Grant B-5 needs Assessment- (<https://jobs.utah.gov/occ/needsassessment.pdf>) <https://jobs.utah.gov/occ/needsassessment.pdf> and the Child Care Access In Utah analysis released in March 2020- (<https://jobs.utah.gov/occ/ccaccess>) <https://jobs.utah.gov/occ/ccaccess>. 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.

c. Other.

N/A

4.1.8 Strategies to increase the supply of and improve the quality of child care services

Lead Agencies are required to develop and implement strategies to increase the supply of and improve the quality of child care services (98.16 (x)). These strategies should address 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. Identify what method(s) is (are) used to increase supply and/or to improve quality for the following populations and indicate in the description if a strategy is focused more on building supply or on improving quality.

a. Children in underserved areas. Check and describe all that apply.

[] i. Grants and contracts (as discussed in 4.1.6). Describe:

ii. Targeted Family Child Care Support such as Family Child Care Networks. Describe:

Family child care networks have been established through the CAC agencies funded by the Lead Agency. Family child care providers in rural areas receive support from a Family Child Care Specialist 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. Each cohort receives services for a nine month period. Providers receive support through training and reflection in Peer Learning Communities, observation and feedback, and technical assistance and coaching in their home environment. At the end of the PLC, providers are provided funding to support them in their quality improvement efforts.

iii. 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 is 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.

iv. 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.

v. 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.

vi. Tiered payment rates (as discussed in 4.3.3). Describe:

vii. Support for improving business practices, such as management training, paid sick leave, and shared services. Describe:

viii. Accreditation supports. Describe:

ix. Child care health consultation. Describe:

x. Mental health consultation. Describe:

xi. Other. Describe:

b. Infants and toddlers. Check and describe all that apply.

i. Grants and contracts (as discussed in 4.1.6). Describe:

ii. Family Child Care Networks. Describe:

iii. 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 is a lack of providers, all start-up costs are reimbursed to those that get a license. In other areas, providers may be reimbursed for up to \$400 of their startup costs. Start-up funding is available to all licensed family child care providers, including those that wish to care for infants and toddlers.

iv. Technical assistance support. Describe:

Technical assistance and coaching support is available to individuals caring for infants and toddlers in home settings. Center based programs participating in CCQS are also offered technical assistance in their infant and toddler rooms after an observation has been conducted. Detailed feedback is provided to the program that includes strengths of the environment and caregivers in the classrooms observed. Quality improvement staff help the program identify areas of improvement and provide resources to the program in the areas requested.

v. 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. These providers are strongly encouraged to serve infants and toddlers.

vi. Tiered payment rates (as discussed in 4.3.3). Describe:

vii. Support for improving business practices, such as management training, paid sick leave, and shared services. Describe:

viii. Accreditation supports. Describe:

ix. Child care health consultation. Describe:

x. Mental health consultation. Describe:

xi. Other. Describe:

c. Children with disabilities. Check and describe all that apply.

i. Grants and contracts (as discussed in 4.1.6). Describe:

ii. Family Child Care Networks. Describe:

iii. Start-up funding. Describe:

iv. Technical assistance support. Describe:

v. Recruitment of providers. Describe:

vi. Tiered payment rates (as discussed in 4.3.3). 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.

vii. Support for improving business practices, such as management training, paid sick leave, and shared services. Describe:

viii. Accreditation supports. Describe:

ix. Child care health consultation. Describe:

x. Mental health consultation. Describe:

xi. Other. Describe:

d. Children who receive care during non-traditional hours. Check and describe all that apply.

i. Grants and contracts (as discussed in 4.1.6). Describe:

ii. Family Child Care Networks. Describe:

iii. Start-up funding. Describe:

iv. Technical assistance support. Describe:

v. Recruitment of providers. Describe:

vi. Tiered payment rates (as discussed in 4.3.3). Describe:

vii. Support for improving business practices for providers, such as management training, and shared services. Describe:

viii. Accreditation supports. Describe:

ix. Child Care health consultation. Describe:

x. Mental health consultation. Describe:

xi. Other. Describe:

The Lead Agency has not established specific strategies because the Lead Agency has not determined whether there is a shortage of child care providers for children receiving care during non-traditional hours at this time. However, providers who offer non-traditional care are eligible to receive grants and technical support from the Lead Agency. Parents have the ability to search in Care About Childcare for providers who offer non-traditional care.

e. Other. Check and describe all that apply.

i. Grants and contracts (as discussed in 4.1.6). Describe:

ii. Family Child Care Networks. Describe:

iii. Start-up funding. Describe:

iv. Technical assistance support. Describe:

v. Recruitment of providers. Describe:

vi. Tiered payment rates (as discussed in 4.3.3). Describe:

vii. Support for improving business practices, such as management training, paid sick leave, and shared services. Describe:

viii. Accreditation supports. Describe:

ix. Child Care health consultation. Describe:

x. Mental health consultation. Describe:

xi. Other. Describe:

The Lead Agency partnered with the Utah Department of Technology Services to implement an online application for the American Rescue Plan Act (ARPA) Stabilization Grants. A designated team to accept, review and approve applications was put in place prior to implementation. The Lead Agency developed the final grant policies and procedures to be implemented. Providers are able to apply for a grant from the Lead Agency's website (<https://jobs.utah.gov>) <https://jobs.utah.gov>.

4.1.9 Prioritizing investments for increasing access to high-quality child care and development services

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 (658 E(c)(2)(M); 98.16 (x);98.46(b)).

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 includes 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 code 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 access to 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.

4.2 Assess Market Rates and Analyze the Cost of Child Care

Key principles of the CCDF are to: (1) provide equal access to child care for children receiving child care assistance; and (2) ensure parental choice by offering a full range of child care services. Payment rates that are too low to support equal access undermine these principles. To establish subsidy payment rates that ensure equal access, Lead Agencies collect and analyze data through a number of tools. 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 or (2) an ACF pre-approved 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 judge what expected costs would be incurred by child care providers and parents under different 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 (CCDF-ACF-PI-2018-01).

Regardless of whether Lead Agencies conduct a market rate survey or an alternative methodology, they are required to analyze the cost of providing child services, known as the narrow cost analysis, that meet basic health, safety, quality and staffing requirements (base level care) (98.45(b)(3), (f)(1)(ii)(A), and (f)(2)(ii)), and higher-quality care at each level of quality, as defined by the Lead Agency (98.45(b)(4), (f)(1)(ii)(B), and (f)(2)(iii)). The analysis must identify the gaps between the cost of care and subsidy levels adopted by the state and then be considered as part of the rate setting process.

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 what information the Lead Agency will obtain from an alternative methodology that could not be obtained from the required narrow cost analysis.
- Describe how the Lead Agency will consult with the State 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 data.
- What metrics the Lead Agency will use to set rates based on the alternative methodology.
- Describe the estimated reporting burden and cost to conduct the approach.

A Market Rate Survey (MRS) or an ACF pre-approved alternative methodology must be

developed and conducted no earlier than 2 years before the date of submission of the Plan (658E(c)(4)(B)(i) (98.45 (c)). Due to the COVID-19 pandemic, Lead Agencies may request a waiver for up to one additional year (until July 1, 2022) to complete the required MRS or an ACF pre-approved alternative methodology. Lead Agencies may also request the required Narrow Cost Analysis be waived for one year (until July 1, 2022). These waiver requests must include a justification linked to the COVID-19 pandemic.

4.2.1 Completion of the MRS or ACF pre-approved alternative methodology.

Did the state/territory conduct a statistically valid and reliable MRS or ACF pre-approved alternative methodology?

Yes. If yes, please identify the methodology(ies) used below to assess child care prices and/or costs.

a. MRS. When was your data gathered (provide a date range, for instance, September – December, 2019)?

The Market Rate Survey was conducted during the time period of September 1-December 31, 2020. Additional data was pulled from the Care About Childcare database in January 2021.

b. ACF pre-approved alternative methodology. Identify the date of the ACF approval and describe the methodology:

No, a waiver is being requested in Appendix A.

a. Please identify the Lead Agency’s planned methodology(ies) to assess child care prices and/or costs.

i. MRS. If checked, describe the status of the Lead Agency’s implementation of the MRS.

ii. ACF pre-approved alternative methodology. If checked, describe the status of the Lead Agency’s implementation of the ACF pre-approved alternative methodology, including if applicable, the date of the ACF approval and a description of the methodology:

b. If a waiver is requested, Lead Agencies will need to respond to questions 4.2.2-4.5.2 based on data collected for the FY 2019-2021 CCDF Plan or any data collected since then. Identify the date of the Lead Agencies’ most recent and complete Market Rate Survey or ACF pre-approved alternative methodology that will provide data to inform responses to questions 4.2.2–4.5.2.

?

4.2.2 Consultation prior to developing MRS or pre-approved alternative methodology

Prior to developing and conducting the MRS, or conducting the ACF pre-approved alternative

methodology, the Lead Agency is required to consult with (1) the 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)). Local child care program administrators may also be good informants to Lead Agencies on narrow cost analyses.

Describe how the Lead Agency consulted with the:

a. State Advisory Council or similar coordinating body:

In January 2020, the Lead Agency announced to the State Advisory Council and the Utah Office of Child Care’s Advisory Committee that the University of Utah Economic Evaluation Unit would be conducting the new MRS and explained the MRS process. In March 2020, the Lead Agency emailed the initial draft of the survey instrument to both coordinating bodies and requested feedback regarding its wording, organization, and implementation. The Lead Agency also presented the timeline for consultation March 2020. Due to the pandemic, the timeline had to be adjusted and was postponed until September 2020. The Lead Agency kept the coordinating bodies aware of the changes.

b. Local child care program administrators:

A group of licensed family and center providers were contacted to complete the draft survey and provided comments regarding its wording, organization, and implementation.

c. Local child care resource and referral agencies:

All directors of Utah’s child care resource and referral agencies reviewed an initial draft of the survey instrument and provided comments regarding its wording, organization, and implementation. The Lead Agency also presented the timeline for consultation.

d. Organizations representing caregivers, teachers, and directors:

Organizations representing caregivers, teachers, and directors participate in the State Advisory Council and the Utah Office of Child Care Advisory Committee. They had an opportunity to review an initial draft of the survey instrument and provide comments regarding its wording, organization, and implementation.

e. Other. Describe:

N/A

4.2.3 Benchmarks for MRS or pre-approved alternative methodology

ACF has established a set of benchmarks, largely based on research, to identify the components of a valid and reliable market rate survey (81 FR, p. 67509). To be considered valid and reliable a Market Rate Survey or preapproved alternative methodology meets the following:

- o represents the child care market
- o provides complete and current data
- o uses rigorous data collection procedures
- o reflects geographic variations
- o analyzes data in a manner that captures other relevant differences

An MRS can use administrative data, such as child care resource and referral data, if it is representative of the market.

a. Describe how each of the benchmarks are met in either the MRS or ACF pre-approved alternative methodology.

i. Represent the child care market:

The market rate survey was emailed to all licensed center and licensed family providers in Utah. Providers had from September 1, 2020 through December 31, 2020 to complete the survey.

ii. Provide complete and current data:

The 2021 Market Rate Study collected data from the market rate survey and data from the Care About Childcare (CAC) database. The market rate survey had a 69.3 percent response rate for licensed centers and a 63 percent response rate for licensed families. The Care About Childcare database had current provider reported data for 94.2 percent of licensed centers and 97.2 percent of licensed family providers. There were many similarities when comparing the data sets.

iii. Use rigorous data collection procedures:

Local child care resource and referral or CAC agencies contacted providers through web, email, and telephone to complete the market rate survey and to ensure current and accurate data was updated in the CAC website. Incentives were also awarded to providers for completion of the survey. This ensured a high response rate with a sample representative of Utah’s child care market.

iv. Reflect geographic variations:

The market rate survey responses include observations from every county in the study population. The MRS data sample represents 75 percent or more of the provider population in more than half of the 25 counties in the study. It represents 50 percent or more of the provider population in 24 out of these 25 counties. Similarly, the high response rate in the CAC database conveys geographic representation in the sample. The study population encompasses 25 counties in the state of Utah. The CAC sample includes 95 percent or more of the provider population for 21 of these counties.

v. Analyze data in a manner that captures other relevant differences:

The Lead Agency contracted with the University of Utah, Economic Evaluation Unit, to conduct and analyze the survey. A comprehensive and thorough data analysis was completed, capturing and explaining observations and findings.

b. Given the impact of COVID-19 on the child care market, do you think that the data you gathered (as indicated in 4.2.1) on the prices or costs of child care adequately reflect the child care market as you submit this plan?

No

Yes. If yes, why do you think the data represents the child care market?

The most recent market rate survey was conducted in the midst of the COVID-19 pandemic. A high percentage of providers responded to the survey or reported current rates to local CCR&R agencies, which data was also used in the study.

4.2.4 Variations in the price or cost of services

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

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

In addition to urban and rural data, market rates are reported for six regional clusters defined by metropolitan and nonmetropolitan statistical areas. These regions represent further disaggregation of

the rural/urban markets and provide further information about differences in child care markets throughout 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, 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 rate survey requested providers share rates based on the ages of children in care. Market rates from the supplementary market rate survey data set are available in the appendix of the market rate study. Age groupings include zero-12 months, one year olds, two year olds, three year olds, four year olds, five year olds in kindergarten and five year olds not in kindergarten, and school-aged children during the school year and summer months.

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

The market rate study examined access to affordable child care, differences in payment modes, non-traditional care hours and included available data on quality levels.

4.2.5 Narrow cost analysis completion

Has the Narrow Cost Analysis been completed for the FY 2022 – 2024 CCDF Plan?

No, a waiver is being requested in Appendix A. If no, describe the status of the Lead Agency's upcoming narrow cost analysis.

Yes, the narrow cost analysis information is included in the report as described in 4.2.6. If yes, describe how the State/Territory analyzed the cost of child care through a narrow cost analysis for the FY 2022 – 2024 CCDF Plan, including:

a. The methodology the Lead Agency used to conduct, obtain, and analyze data on the estimated cost of care (narrow cost analysis), including any relevant variation by geographic location, category of provider, or age of child (98.45 (f)(ii)).

The analysis in this section uses the market rate survey data and other publicly available data sources to assess the relationship between cost and quality. The market rate study is focused on prices rather than costs, but the survey did include key factors that influence the cost of care such as staff-child ratios and other features of facilities and programs.

b. How the methodology addresses the cost of child care providers' implementation of health, safety, quality and staffing requirements (i.e. applicable licensing and regulatory requirements, health and safety standards, training and professional development

standards, and appropriate child to staff ratio, groups size limits, and caregiver qualification requirements (98.45 (f)(ii)(A)).

Quality indicators were identified that align with the CCDF definition of higher-quality care by utilizing benchmarks from the CCQS that reflect the costs of implementing health, safety, quality, and staffing requirements. The quality indicators used to complete the narrow cost analysis include Top Star endorsed facilities, child-staff ratio, group size, education level of the director or licensee and accreditation.

- c. How the methodology addresses the cost of 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 (98.45 (f)(ii)(B)).

The cost of higher-quality care is inferred from evaluating market rate differentials associated with a selection of quality indicators based on Utah’s Office of Child Care’s quality rating system, the Child Care Quality System framework or CCQS. Limited MRS data and public data related to provider costs are introduced to connect the market rate differentials to the cost of higher-quality care, including wage data from the Bureau of Labor Statistics and the market rate survey.

- d. The gap between costs incurred by child care providers and the Lead Agency’s payment rates based on findings from the narrow cost analysis.

There were three key findings from the narrow cost analysis. (1) Not all indicators of higher-quality care are associated with higher market rates. The direct personnel expenses of reducing staff-child ratios and hiring a facility director with more education are associated with higher market rates, as are the costs associated with achieving national accreditation. However, TOP star certification and lower group sizes are not necessarily associated with higher consumer prices for Center Licensed facilities in the child care market. (2) An estimate of increasing personnel costs shows that facilities moving from the legal standard for staff-child ratios to the higher-quality standard in Utah’s CCQS will incur cost increases between \$120 and \$900 per child. (3) A subsidy set at the 75th percentile of market rates in Utah overall provides broad access to child care services that meet one or more benchmarks for higher-quality care. At the state level, between 70 percent and 86 percent of providers that meet the criteria for higher-quality for at least one of the indicators examined in this section have a market rate at or below the 75th percentile.

4.2.6 Detailed report of the market rate survey or ACF pre-approved alternative methodology results

After conducting the market rate survey or ACF pre-approved alternative methodology, the Lead Agency must prepare a detailed report containing the results of the MRS or ACF pre-approved alternative methodology. The detailed report must also include the Narrow Cost Analysis, as described in 4.2.5, which estimates the 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 or for a state with a QRIS system that is currently limited to only certain providers, those states may use other quality indicators (e.g. provider status related to accreditation, PreK standards, Head Start performance standards, school-age quality standards, or state defined quality measures.)

The Lead Agency must make the report with these results widely available no later than 30 days after completion of the report, including posting the results on the Lead Agency website. The Lead Agency must describe in the detailed report how the Lead Agency took into consideration the views and comments of the public or stakeholders.

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

- a. Date the report containing results was made widely available—no later than 30 days after the completion of the report.

May 3, 2021

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

The Market Rate Study was published on the Lead Agency’s website and announced to community partners and providers. The Market Rate Study may be viewed here (<https://jobs.utah.gov/occ/plans.html?>) <https://jobs.utah.gov/occ/plans.html>

- c. Describe how the Lead Agency considered stakeholder views and comments in the detailed report.

Suggestions were incorporated into the final draft of the survey including revisions to the survey introduction and to specific survey questions to ensure they were easily understood and relevant. Additionally, the original timeline for the survey was changed based on input from stakeholders.

4.3 Establish Adequate Payment Rates

The Lead Agency must set CCDF subsidy payment rates, in accordance with the results of the current MRS or ACF pre-approved alternative methodology, as identified in 4.2.1, 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 assistance. Lead Agencies must also consider the costs of base and higher quality care at each level as part of its rate setting. The Lead Agency must re-evaluate its payment rates at least every 3 years.

4.3.1 Base payment rates and percentiles

Provide the base payment rates and percentiles (based on the most recent MRS as identified in 4.2.1) for the following categories below. Lead Agencies are required to provide a summary of data and facts in their Plan to demonstrate how its payment rates ensure equal access. The preamble to the final rule (81 FR, p. 67512), indicates that a benchmark for adequate payment rates is the 75th percentile of the most recent MRS. The 75th percentile is the number separating the lowest 75 percent of rates from the highest 25 percent. Setting rates at the 75th percentile, while not a requirement, would ensure that eligible children have access to three out of four child care slots.

The 75th percentile benchmark applies to the base rates. Base rates are the lowest, foundational rates before any differentials are added (e.g., for higher quality or other purposes). Further, base rates must be sufficient to ensure that minimum health and safety and staffing requirements are covered.

Percentiles are not required if the Lead Agency conducted an ACF pre-approved alternative methodology, but must be reported if the Lead Agency conducted a MRS. For states that conduct an ACF pre-approved alternative methodology, report the base payment rates based on a full-time weekly rate.

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. If rates are not statewide, please use the most populous geographic region (defined as the area serving highest number of CCDF children) to report base payment rates below.

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a. Fill in the table below based on either the statewide rates or the most populous area of the state (area serving highest number of children accessing CCDF). To facilitate compiling state by state payment rates, provide the full-time weekly base payment rates in the table below. If weekly payment rates are not published, then the Lead Agency will need to calculate its equivalent.

Age of child in what type of licensed child care setting. (All rates are full-time)	Base payment rate (including unit)	Full-time weekly base payment rate	If the Lead Agency conducted an MRS, what is the percentile of the base payment rate?	If the Lead Agency used an alternative methodology what percent of the estimated cost of care is the base rate?
i. Infant (6 months) Center care	\$1172 per month	\$273	90th percentile	
ii. Toddler (18 months) Center care	\$1172 per month	\$273	90th	
iii. Preschooler (4 years) Center care	\$783 per month	\$182	80th	
iv. School-age child (6 years) Center care (Based on full-day, full-year rates that would be paid during the summer.)	\$629 per month	\$146	80th	
v. Infant (6 months) Family Child Care	\$840 per month	\$195	90th	
vi. Toddler (18 months) Family Child Care	\$840 per month	\$195	90th	
vii. Preschooler (4 years) Family Child Care	783 per month	\$182	80th	

Age of child in what type of licensed child care setting. (All rates are full-time)	Base payment rate (including unit)	Full-time weekly base payment rate	If the Lead Agency conducted an MRS, what is the percentile of the base payment rate?	If the Lead Agency used an alternative methodology what percent of the estimated cost of care is the base rate?
viii. School-age child (6 years) Family Child Care (Based on full-day, full-year rates that would be paid during the summer.)	\$610 per month	\$142	80th	

b. If the Lead Agency does not publish weekly rates then how were these rates calculated (e.g., were daily rates multiplied by 5 or monthly rates divided by 4.3)?

Monthly rates were divided by 4.3.

c. Describe how the Lead Agency defines and calculates part-time and full-time care.

The Lead Agency has established two part-time rates and two full-time rates based on parent participation. Participation less than 23 hours per week is considered part-time. Participation equal or greater than 23 hours per week is considered full-time. Parents participating 32 hours or more per week qualify for the maximum monthly rate.

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d. Provide the date these current payment rates became effective (i.e., date of last update based on most recent MRS as reported in 4.2.1).

January 1, 2024

e. If applicable, identify the most populous area of the state (area serving highest number of children accessing CCDF) used to complete the responses above.

N/A

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

<https://jobs.utah.gov/occ/provider/table30224.pdf>

g. 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 Differentiating payment rates

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

a. Geographic area. Describe:

b. Type of provider. Describe:

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

c. Age of child. Describe:

Subsidy 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 six to 12.

d. Quality level. Describe:

e. Other. Describe:

4.3.3 Tiered rates, differential rates, or add-ons

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). Lead Agencies may pay providers more than their private pay rates as an incentive or to cover costs for higher quality care (81 FR, p. 67514).

Has the Lead Agency chosen to implement tiered reimbursement or differential rates?

No

Yes, If yes, identify below any tiered or differential rates, and at a minimum, indicate the process and basis used for determining the tiered rates, including if the rates were based on the MRS or an ACF pre-approved alternative methodology. Check and describe all that apply.

a. Tiered or differential rates are not implemented.

b. Differential rate for non-traditional hours. Describe:

c. 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.

d. 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:

e. 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:

[] f. Differential rate for higher quality, as defined by the state/territory. Describe:

[] g. Other differential rates or tiered rates. Describe:

4.3.4 Establishment of adequate payment rates.

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a. Describe how base payment rates are adequate and enable providers to meet health, safety, quality, and staffing requirements under CCDF, and how they were established based on the most recent MRS or ACF pre-approved alternative methodology and the Narrow Cost Analysis, as reported in 4.2.1 and 4.2.5.. In determining compliance with the Act for the equal access provisions in the FY2019-2021 CCDF Plan, the OCC reviewed all the states with payment rates below the 75th percentile benchmark. Of those states, the half with the lowest payment rates were considered non-compliant and placed on a corrective action plan (CAP). These states all had rates below the 25th percentile for either some or all categories of care. The 25th percentile is not to be viewed as a benchmark or a long-term solution to gauge equal access. It is also not to be viewed as sufficient for compliance in future plan cycles. OCC expects to continue to take action against states with the lowest rates in future plan cycles in an effort to keep payment rates moving upward toward ensuring equal access. Note: Per the preamble (81 FR p. 67512), in instances where an MRS or ACF pre-approved alternative methodology indicates that prices or costs have increased, Lead Agencies must raise their rates as a result.

Based on the Utah 2021 Market Rate Study, rates were increased to the 90th percentiles for children ages 0-23 months and the 80th percentiles for all other age groups in licensed care. The 2021 Market Rate Study included a Narrow Cost Analysis. A key finding of the Narrow Cost Analysis was that subsidy rates set at the 75th percentile of market rates in Utah provide broad access to child care services that meet one or more benchmarks for higher-quality care.

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b. Describe the process used for setting rates, including how the Lead Agency factors in the cost of care, including any increased costs and provider fees because of COVID-19, and how such costs may be modified after the pandemic subsidies.

Based on the Utah 2021 Market Rate Study, including the Narrow Cost Analysis, rates were increased to the 90th percentiles for children ages 0-23 months and the 80th percentiles for all other age groups in licensed care. The study was conducted during the COVID-19 pandemic and reflects currently reported provider rates, which should have taken into account any increased costs or fees associated with COVID-19. The Lead Agency anticipates maintaining the subsidy rates at the current percentiles after the pandemic ends.

4.3.5 Cost of higher quality

Describe how the Lead Agency took the cost of higher quality, as determined in 4.2.5, 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, PreK 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.

On August 1, 2022 the Lead Agency launched the full Child Care Quality System (CCQS), Utah's QRIS, for licensed family-based programs. Family-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 \$100 for High Quality ratings and by \$125 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 materials and supplies, hiring additional staff to assist the licensee, or other program needs to operate a high quality program.

4.3.6 Additional facts in determining payments rates

Identify and describe any additional facts that the Lead Agency considered in determining its payment rates ensure equal access. If applicable, provide a description of how any additional health and safety costs, because of the COVID-19 pandemic are included in rate setting.

The 2021 Market Rate Study was completed during the COVID-19 pandemic. The Lead Agency anticipates that additional costs were taken into account as providers reported their rates that were reflective during this time period. Based on the Utah 2021 Market Rate Study, rates were increased to the 80th percentiles for children ages 0-23 months and the 75th percentiles for all other age groups in licensed care.

4.4 Implement Generally Accepted Payment Practices and Ensure 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(I)(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)). Responses may also identify any additional health and safety fees providers are charging as a result of COVID-19.

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)).

4.4.1 Payment practices

Certify by identifying and describing the payment practices below that the Lead Agency has implemented for all CCDF child care providers.

a. Ensure the timeliness of payments by either (Lead Agency to implement at least one of the following):

i. 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.

ii. Paying within no more than 21 calendar days of the receipt of a complete invoice for services. Describe the policy or procedure.

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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:

i. Paying based on a child's enrollment rather than attendance. Describe the policy or procedure.

The Lead Agency pays prospectively, at the beginning of each month, based on enrollment. A child must attend a minimum of eight hours in the initial month and each subsequent month to establish a continued need for child care. There is no overpayment if a child is enrolled and does not attend eight hours in a month after the initial approval month. Providers are required to report if a child attended less than eight hours during the month or is not expected to attend eight hours the following month. The change or circumstance must be reported to evaluate continued need for care and prevent overpayments for subsequent months when less than eight hours of care is needed with the same provider.

ii. Providing full payment if a child attends at least 85 percent of the authorized time. Describe the policy or procedure.

iii. Providing full payment if a child is absent for five or fewer days in a month. Describe the policy or procedure.

iv. 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.

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(I)(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).

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 Utah 2021 Child Care Market Rate Study showed an increase in the number of licensed centers who charge an initial registration fee at enrollment since the last market rate study was conducted. The study showed that 81.5 percent of licensed centers charge an initial registration fee compared to 32.8 percent of licensed family providers. The average cost was \$50 per child enrolled in licensed center care and \$40 per child enrolled in licensed family care. The Lead Agency covers the cost of an initial registration fee up to \$50 for licensed centers and up \$40 for licensed family providers. A registration fee may be paid once per child per the same provider in a 12-month period. A new fee may be paid when a change in providers is reported. The fee is paid at the time of the subsidy application approval or when a payment to a new provider is issued.

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, including fees related to COVID 19, 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>) <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, children in care and the breakdown of payment and copayment amounts per child. 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

4.4.2 Payment practices across regions counties, and/or geographic areas

Do payment practices vary across regions, counties, and/or geographic areas?

No, the practices do not vary across areas.

Yes, the practices vary across areas. Describe:

Amended: Effective Date 01/01/2024

4.4.3 Payment practices supporting equal access

Describe how Lead Agencies' payment practices described in subsection 4.4 support equal access to a full range of providers.

The Lead Agency supports equal access to a full range of providers by paying providers prospectively based on enrollment. Unless a check is requested, providers receive direct deposit at the beginning of each month. Monthly, full-time payment rates are also set at the 90th percentile for children ages 0-23 months and at 80th percentile for all other age groups in licensed family and licensed center care. This allows parents access to the majority of providers who pay at or below the established rates. Parents are not limited to choose providers who accept the state rates. This allows for flexibility and parental choice.

4.5 Establish Affordable Co-Payments

Family co-payments are addressed in Section 3 related to minimum 12-month eligibility and the graduated phase-out provision and also in this subsection, because they are an important element for determining equal access. If a Lead Agency allows providers to charge amounts more than the required family co-payments, the Lead Agency must provide a rationale for this practice, including how charging such additional amounts will not negatively impact a family's ability to receive care they might otherwise receive, taking into consideration a family's co-payment and the provider's payment rate.

Amended: Effective Date 02/01/2023

4.5.1 Affordable family contribution/co-payment

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 services (98.16 (k))? Check all that apply.

a. Limit the maximum co-payment per family. Describe:

b. 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 describe.

Families with income up to 85 percent of the State Median Income are not assessed a co-payment greater than seven percent of household income regardless of how many children are in the household size.

c. 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 3.2.5. Describe:

d. Other. Describe:

4.5.2 Option to allows providers to charge additional amounts

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 copayment 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.

According to the Utah 2021 Market Rate Study, 80.8 percent of Center Licensed options and 75.7 percent of Family Licensed providers statewide report that they require payments in excess of the subsidy when a differential exists. Excess payments are less likely to be applied to families in rural areas.

- 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.

Although the Lead Agency allows providers to charge additional fees beyond the co-payment, by setting the monthly full-time subsidy rate at the 80th percentile for children ages 0-23 months and the 75th percentile for all other age groups in licensed family and licensed center care, families are able to use the subsidy to access the majority of licensed providers throughout the state without having to pay excess fees.

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 all child care providers in a state or territory and then moves to focus specifically on CCDF providers who may be licensed, or those exempt from licensing. The next section addresses child-staff ratios, group size limits, and required qualifications for caregivers, teachers, and directors

(98.16(m)) serving CCDF children. The section then covers the health and safety requirements; standards, training, and monitoring and enforcement procedures to ensure that CCDF child care providers comply with licensing and health and safety requirements (98.16(n)). Finally, Lead Agencies are asked to describe any exemptions for relative providers (98.16(l)). In some cases, CCDF health and safety requirements may be integrated within the licensing system for licensed providers and may be separate for CCDF providers who are license-exempt. In either case, Lead Agencies are expected to identify and describe health and safety requirements for all providers receiving CCDF.

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 apply to all child care staff members who are licensed, regulated, or registered under state/territory law and all other providers eligible to deliver CCDF services.

Note: When asked for citations, responses can include state statute, regulations, administrative rules, policy manuals or policy issuances. See the Introduction on page 4 for more detail.

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 Providers subject to licensing

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, identify, and describe all that apply, and provide a citation to the licensing rule.

a. Center-based child care.

i. Identify the providers subject to licensing:

Center
Hourly Center
Out of School Time Programs
Commercial Preschools

ii. Describe the licensing requirements:

Center:

(1) A person 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 five or more unrelated children;**
- (d) for each individual child for less than 24 hours a day;**
- (e) on an ongoing basis for four or more weeks in a year; and**
- (f) for direct or indirect compensation.**

(2) A person who is not required to be licensed may voluntarily become licensed, except for care that is for related children only or on a sporadic basis.

Hourly Center:

(1) A person 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 five or more unrelated children;**
- (d) for four or more hours per day, and no child is cared for on a regular schedule;**
- (e) for each individual child for less than 24 hours a day;**
- (f) on an ongoing basis for four or more weeks in a year; and**
- (g) for direct or indirect compensation.**

(2) A person who is not required to be licensed may voluntarily become licensed, except for care that is for related children only or on a sporadic basis.

Out of School Time programs:

(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 five or more qualifying children;

(d) for each individual child for less than 24 hours a day;

(e) on an ongoing basis, on three or more days a week and for 30 or more days in a calendar year;

(f) to children who are at least five years of age; and

(g) for direct or indirect compensation.

(2) A person who is not required to be licensed may voluntarily become licensed, except for care that is for related children only or on a sporadic basis.

Commercial Preschools:

(1) A person shall have a preschool program license 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 five or more qualifying children between the ages of two and four years old, and five years old if the child is not attending school;

(d) for each individual child for less than four hours per day;

(e) on an ongoing basis for more than two days a week and for four or more weeks in a year;

(f) for direct or indirect compensation; and

(g) where care does not include preparing meals to children.

(2) A person who is not required to be licensed may voluntarily receive a license, except for care that is for related children only or on a sporadic basis.

iii. Provide the citation:

Center: Child Care Licensing Administrative Rules R381-100-3(1)-(2)

Hourly Center: Child Care Licensing Administrative Rules R381-60-3(1)-(2)

Out of School Time programs: Child Care Licensing Administrative Rules R381-70-3(1)-(2)

Commercial Preschools: Child Care Licensing Administrative Rules R381-40-3(1)-(2)

[x] b. Family child care. Describe and provide the citation:

i. Identify the providers subject to licensing:

**Licensed Family
Residential Certificate**

ii. Describe the licensing requirements:

Licensed Family:

(1) An individual shall be licensed as a licensed family child care provider if they provide care:

(a) in the home where they reside;

(b) in the absence of the child's parent;

(c) for five to 16 unrelated children;

(d) for four or more hours a day;

(e) for each individual child for less than 24 hours a day;

(f) on a regularly scheduled, ongoing basis; and

(g) for direct or indirect compensation.

(2) A person who is not required to be licensed may voluntarily become licensed, except for care that is for related children only or on a sporadic basis.

Residential Certificate:

(1) An individual shall be certified as a residential child care provider if they provide care:

- (a) in the home where they reside;**
- (b) in the absence of the child's parent;**
- (c) for five to eight unrelated children;**
- (d) for four or more hours a day;**
- (e) for each individual child for less than 24 hours a day;**
- (f) on a regularly scheduled, ongoing basis; and**
- (g) for direct or indirect compensation.**

(2) A person who is not required to be certified may voluntarily become certified, except for care that is for related children only or on a sporadic basis.

iii. Provide the citation:

**Licensed Family: Child Care Licensing Administrative Rules R430-90-3(1)-(2)
Residential Certificate: Child Care Licensing Administrative Rules R430-50-3(1)-(2)**

[] c. In-home care (care in the child's own) (if applicable):

i. Identify the providers subject to licensing:

N/A

ii. Describe the licensing requirements:

N/A

iii. Provide the citation:

N/A

5.1.2 CCDF Eligible Providers Exempt from Licensing Requirement

Identify the CCDF-eligible providers who are exempt from licensing requirements. 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. Describe how such exemptions do not endanger the health, safety, and development of children (658E (c)(2)(F); 98.40(a)(2)). Do not include exempt relative care providers, this information will be collected in Section 5.6.

a. License-exempt center-based child care. Describe and provide the citation by answering the questions below.

- i. Identify the CCDF-eligible center-based child care providers who are exempt from licensing requirements. Describe the 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: **The following types of care do not require a child care license or certificate from the department, but do require the provider to meet the application and public notice requirements outlined in this rule:**

- (a) Care provided to a qualifying child as part of a course of study at or a program administered by an educational institution that is regulated by the boards of education of this state, a private education institution that provides education in lieu of that provided by the public education system, or by a parochial education institution;

- (b) Care provided to a qualifying child by a public or private institution of higher education, if the care is provided in connection with a course of study or program, relating to the education or study of children, that is provided to students of the institution of higher education;

- (c) Care provided to a qualifying child at a public school by an organization other than the public school, if: (i) the care is provided under contract with the public school or on school property; or (ii) the public school accepts responsibility and oversight for the care provided by the organization;

- (d) Care provided to a qualifying child as part of a summer camp that operates on federal land pursuant to a federal permit;

- (e) Care provided by an organization that: (i) qualifies for tax exempt status under Section 501(c)(3) of the Internal Revenue Code; (ii) provides care pursuant to a written agreement with: (A) a municipality that provides oversight for the program; or (B) a county that provides oversight for the program; and (iii) provides care to a child who is over the age of four and under the age of 13.

If any of these programs desires to become CCDF eligible, they will be classified by CCL as either DWS Approved Exempt Centers or DWS Approved, Exempt School Age Programs.

DWS Approved, Exempt Centers. These centers care for any number of children ages zero through 12 years of age, and children can be there for half or full days, but for less than 24 hours each day.

DWS Approved, Exempt School Age Programs are for school age children. These programs normally operate before or after school hours. Depending on their activity plan and location, they can care for any number of children.

- ii. Provide the citation to this policy:
Child Care Licensing Administrative Rules R430-8-4 and LEDWS Approval Requirements Policy
(<https://childcarelicensing.utah.gov/DWS%20Child%20Care/LE%20DWS%20Requirements.pdf>)

<https://childcarelicensing.utah.gov/DWS%20Child%20Care/LE%20DWS%20Requirements.pdf>

- iii. Describe how the exemptions for these CCDF-eligible providers do not endanger the health, safety, and development of children.

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. To become CCDF eligible, these programs will have to either become licensed or abide by the same basic health and safety requirements other CCDF eligible providers are to follow.

b. License-exempt family child care. Describe and provide the citation by answering the questions below.

- i. Identify the CCDF-eligible family child care providers who are exempt from licensing requirements. Describe the 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:

DWS Approved, FFN in Provider’s Home. Care is for less than 24 hours, and

(a) When the children in care are all siblings who are related to the provider and there are no other children in care, there is no limit to the number of children in care.

(b) When there are children in care who are not siblings who are related to the provider, the provider must ensure there are no more than 8 children in care and no more than two of those children are younger than two years old. When there are more than four children in care who are not related to the provider, the provider must (by statute) have a Child Care Family License or Residential Certificate.

- ii. Provide the citation to this policy:

Child Care Licensing Administrative Rules R430-8-3(b)-(c), and DWS FFN Approval Requirements Policy

(<https://childcarelicensing.utah.gov/DWS%20Child%20Care/DWS%20FFN%20Requirements.pdf>)

<https://childcarelicensing.utah.gov/DWS%20Child%20Care/DWS%20FFN%20Requirements.pdf>

- iii. Describe how the exemptions for these CCDF-eligible providers do not endanger the health, safety, and development of children.

This category of care does not endanger the health, safety, and development of children since background screening checks are conducted for all covered individuals. CCL also conducts investigations if there were any complaints related to the health and safety of children in these facilities. To become CCDF eligible, these programs must abide by the basic health and safety requirements other CCDF eligible providers are required to follow.

c. In-home care (care in the child’s own home by a non-relative): Describe and provide the citation by answering the questions below.

- i. Identify the CCDF-eligible in-home child care (care in the child’s own home by a non- relative) providers who are exempt from licensing requirements. Describe the 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.

1. Since care is provided in the child's home and we only regulate care in the provider's home, this type of care is exempt from licensing.

2. DWS Approved, FFN in Child's Home. Care is provided for less than 24 hours, only the child(ren) living in the home can be in care, and:

(a) When the children in care are all siblings and there are no other children in care, there is no limit to the number of children in care.

(b) When there are children in care who are not siblings, the provider must ensure there are no more than 8 children in care and no more than 2 of those children are younger than 2 years old.

ii. Provide the citation to this policy:

Child Care Licensing Administrative Rules R430-8-3(b)-(c), and DWS FFN Approval Requirements Policy
(<https://childcarelicensing.utah.gov/DWS%20Child%20Care/DWS%20FFN%20Requirements.pdf>)
<https://childcarelicensing.utah.gov/DWS%20Child%20Care/DWS%20FFN%20Requirements.pdf>.

iii. Describe how the exemptions for these CCDF-eligible providers do not endanger the health, safety, and development of children.

This category of care does not endanger the health, safety, and development of children since background screening checks are conducted for all covered individuals. CCL also conducts investigations if there were any complaints related to the health and safety of children in these facilities. To become CCDF eligible, these programs will have to abide by the basic health and safety requirements other CCDF eligible providers are to follow.

5.2 Standards for Ratios, Group Size and Qualifications for CCDF Providers

Lead Agencies are required to have 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. Exemptions for relative providers will be addressed in subsection 5.6.

5.2.1 Age classifications definitions

Describe how the state/territory defines the following age classifications. For instance, Infant: 0-18 months.

a. Infant. Describe:

A child who is younger than 12 months old.

b. Toddler. Describe:

A child age 12 through 23 months old.

c. Preschool. Describe:

A child age two through four years old.

d. School-Age. Describe:

A child age five through 12 years old.

5.2.2 Ratio and group size for settings and age groups

To demonstrate continued compliance, provide the ratio and group size for settings and age groups below.

a. Licensed CCDF center-based care:

i. Infant

A. Ratio:

1 to 4

B. Group size:

8

ii. Toddler

A. Ratio:

12 to 17 months: 1 to 4

18 to 23 months: 1 to 5

B. Group size:

12 to 17 months: 8

18 to 23 months: 10

iii. Preschool

A. Ratio:

2-year olds: 1 to 7

3-year olds: 1 to 12

4-years olds: 1 to 15

B. Group size:

2-year olds: 14

3-year olds: 24

4-years olds: 30

iv. School-Age

A. Ratio:

1 to 20

B. Group size:

40

v. Mixed-Age Groups (if applicable)

A. Ratio:

If infants and toddlers are in the mix:

1:4 with three children younger than 18 months old in the group

1:7 With two children younger than 18 months old in the group.

1:8 with up to three children younger than two years old and no more than two children younger than 18 months old in the group.

1:10 If the mix is only for 18 to 35 months old children with no more than five 18 to 23 months old children in the group.

If no infants and toddlers are in the mix:

The caregiver-to-child ratio is determined by the single age ratio minus one of the oldest child present in the group.

B. Group size:

If infants and toddlers are in the mix:

With three children younger than 18 months old in the group: 8

With two children younger than 18 months old in the group: 14

With up to three children younger than two years old and no more than two children younger than 18 months old in the group: 16

If the mix is only for 18 to 35 months old children with no more than five 18 to 23 months old children in the group: 20

If no infants and toddlers are in the mix:

The maximum group size is double the the single age ratio minus two of the oldest child present in the group.

- vi. If any of the responses above are different for exempt child care centers, describe the ratio and group size requirements for license-exempt providers.

N/A

b. Licensed CCDF family child care home providers:

i. Mixed-Age Groups

A. Ratio:

1/8 with no more than three children younger than two years old but no more than two children younger than 18 months old, and also 1/6 with no more than three children younger than two years old.

B. Group size:

24 including the provider's own children for licensed family, and 12 including the provider's own children for residential certificate.

ii. Infant (if applicable)

A. Ratio:

1/3 with no more than 2 children younger than 18 months old.

B. Group size:

6

iii. Toddler (if applicable)

A. Ratio:

1/3

B. Group size:

6

iv. Preschool (if applicable)

A. Ratio:

N/A

B. Group size:

N/A

v. School-Age (if applicable)

A. Ratio:

N/A

B. Group size:

N/A

vi. If any of the responses above are different for exempt child care homes, describe the ratio and group size requirements for license-exempt family child care home providers.

N/A

c. Licensed in-home care (care in the child's own home):

i. Mixed-Age Groups (if applicable)

A. Ratio:

N/A

B. Group size:

N/A

ii. Infant (if applicable)

A. Ratio:

N/A

B. Group size:

N/A

iii. Toddler (if applicable)

A. Ratio:

N/A

B. Group size:

N/A

iv. Preschool (if applicable)

A. Ratio:

N/A

B. Group size:

N/A

v. School-Age (if applicable)

A. Ratio:

N/A

B. Group size:

N/A

vi. Describe the ratio and group size requirements for license-exempt in-home care.

When care is in the home of the child(ren) in care, only the child(ren) living in the home can be in care, and:

(a) When the children in care are all siblings and there are no other children in care, there is no limit to the number of children in care.

(b) When there are children in care who are not siblings, the provider must ensure there are no more than 8 children in care and no more than 2 of those children are younger than 2 years old.

5.2.3 Teacher/caregiver qualifications

Provide the teacher/caregiver qualifications for each category of care.

a. Licensed Center-Based Care

i. Describe the teacher qualifications for licensed CCDF center-based care, including any variations based on the ages of children in care:

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. 10 hours of annual training are required for Hourly centers.

ii. Describe the director qualification for licensed CCDF center-based care, including any variations based on the ages of children in care or the number of staff employed:

(1) 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.

(2) 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.

iii. If any of the responses above are different for license-exempt child care centers, describe which requirements apply to exempt centers:

N/A

iv. If applicable, provide the website link detailing the center-based teacher and director qualifications.

**(<https://childcarelicensing.utah.gov>) <https://childcarelicensing.utah.gov>;
(<https://childcarelicensing.utah.gov/2021%20Center%20Interpretation%20Manual/FINAL%202021%20Center%20IM%20Section%207.pdf>)**

<https://childcarelicensing.utah.gov/2021%20Center%20Interpretation%20Manual/FINAL%202021%20Center%20IM%20Section%207.pdf>

b. Licensed Family Child Care

- i. Describe the provider qualifications for licensed family child care homes, including any variations based on the ages of children in care:

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 interactive. 10

hours of annual training are required for residential certificate providers.

- ii. If any of the responses above are different for license-exempt family child care homes, describe which requirements apply to exempt homes:

N/A

- iii. If applicable, provide the website link detailing the family child care home provider qualifications:

(<https://childcarelicensing.utah.gov>) <https://childcarelicensing.utah.gov/2021%20Licensed%20Family%20Interpretation%20Manual/FINAL%202021%20Licensed%20Family%20IM%20Section%207.pdf> <https://childcarelicensing.utah.gov/2021%20Licensed%20Family%20Interpretation%20Manual/FINAL%202021%20Licensed%20Family%20IM%20Section%207.pdf>

c. Regulated or registered In-home Care (care in the child's own home by a non-relative)

- i. Describe the qualifications for licensed in-home child care providers (care in the child's own home) including any variations based on the ages of children in care:

(1) The provider must: (a) be at least 18 years old; and (b) have knowledge of and comply with all applicable federal, state, and local laws and rules, including fire requirements.

(2) The provider can only live in the same home as the child(ren) in care for payment when one or more of the children have special needs. When care is in the home of the provider, a parent of the child(ren) in care for payment cannot live in that home.

(3) The provider cannot be a sibling who lives in the same home as the children in care for payment.

(4) The provider cannot be a parent, specified relative or legal guardian of the children in care for payment. This includes a divorced spouse, a step-parent, a spouse of a specified relative, and a spouse of a legal guardian.

(5) The provider cannot provide care when there is a parent of the child(ren) in the home, including when a DWS customer works from home. Exceptions may be made when there are extenuating circumstances.

- ii. If any of the responses above are different for license-exempt in-home care providers, describe which requirements apply to exempt in-home care providers:

N/A

5.3 Health and Safety Standards and Training for CCDF Providers

The state/territory must describe its requirements for pre-service or orientation training and ongoing training. 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. This training must address the required health and safety topics (658E(c)(2)(I)(i) and the content area of child development. Lead Agencies have flexibility in determining the number of training hours to require, and they may consult with Caring for our Children Basics for best practices and the recommended time needed to address these training requirements.

Lead Agencies must also have ongoing training requirements for caregivers, teachers, and directors who are caring for children receiving CCDF funds (658E(c)(2)(I)(i); 98.44(b)(1)(iii)). Lead Agencies are to report the total number of ongoing training hours that are required each year, but they do not have to report these hours out by topic (658E(c)(2)(G)(iii)). Ongoing training requirements will be addressed in 5.3.13.

Both preservice/orientation and ongoing trainings should be a part of a broader systematic approach and progression of professional development (as described in section 6) within a state/territory.

States and territories must have health and safety **standards** for programs (e.g., child care centers, family child care homes, etc.) serving children receiving CCDF assistance relating to the required health and safety topics as appropriate to the provider setting and age of the children served (98.41(a)). This requirement is applicable to all child care programs receiving CCDF funds regardless of licensing status (i.e., licensed or license-exempt). The only exception to this requirement is for relative providers, as defined in 98.2. Lead Agencies have the option of exempting relatives from some or all CCDF health and safety requirements (98.42(c)). Exemptions for relative providers' standards and training requirements will be addressed in question 5.6.3.

To certify, describe the following health and safety requirements for programs serving children receiving CCDF assistance on the following topics (98.16(I)) identified in questions 5.3.1 – 5.3.12. Note: Monitoring and enforcement will be addressed in subsection 5.4.

5.3.1 Prevention and control of infectious diseases

Prevention and control of infectious diseases (including immunizations) health and safety standards and training requirements.

Amended: Effective Date 11/01/2022

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs.

Prevention and control of infectious diseases is covered in section 15 of Child Care Licensing Administrative Rules. This section includes standards and practices that providers must implement to 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 are

sick or become sick after arriving at the facility; and parent notification of infectious 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. Practices for proper diapering procedures to prevent and control infection are also contained in section 23 of the Child Care Licensing Administrative Rules. Rule review is required both during preservice training and on an annual ongoing basis.

- ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care. **Out of School Time licenses are not required to review or train on diapering rules as listed above, since they do not care for diapered children. In addition, all provider types with children age 5 and older are not required to report on immunizations, as these children attend school and the school is responsible for reporting immunization status, but all provider types are still required to be trained on immunizations as a way to control and prevent infectious diseases.**
- iii. The Lead Agency must certify that the identified health and safety standard(s) is(are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules found at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>.

See also <https://docs.google.com/spreadsheets/d/1-pitQPhPa54kEBDviybfWIFc6gozpNOTvx4aYTWNZw/edit#gid=0>.

Amended: Effective Date 11/01/2022

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for these training requirements, including citations for both licensed and license-exempt providers.

Child Care Licensing Administrative Rules R381-100-7, R381-70-7, R381-60-7, R381-40-7, R430-90-7, and R430-50-7, DWSFFN-7 Personnel and Training, LEDWS-7 Personnel and Training found at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>

See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1, Child Care Settings

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>.

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>

R381-60-7(18) and (20). Hourly center providers are monitored during the

inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>.

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-7(13) and (14) Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>

DWSFFN-7 DWS FFN providers are monitored during the inspection using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and section 7-Personnel and Training in the Interpretation Manual.

LEDWS-7 LE DWS providers are monitored during inspections using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and section 15-Personnel and Training in the Interpretation Manual.

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

All provider types have pre-service and ongoing training requirements. There are variations in training requirements between the various license types and age of the children in care. Child Care Licensing does not require child care programs to collect or report immunization information for children ages 5 and older who are attending school or will be entering school during the current year. The responsibility of reporting the immunization information is assigned to the schools where the children are attending. See <https://docs.google.com/spreadsheets/d/1-pitQPhPa54kEBDviybfWIFc6gozpNOTvx4aYTWNZZw/edit#gid=0>.

- iii. To demonstrate compliance, certify by checking below how the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers,

teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.2 Prevention of sudden infant death syndrome

Prevention of sudden infant death syndrome and the use of safe-sleep practices.

Amended: Effective Date 11/01/2022

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs.

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 safe sleep 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 on 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.

- ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.

There are no variations.

- iii. The Lead Agency must certify that the identified health and safety standard(s) is(are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules as follows:

R381-100-22(1)-(8), (9), (11), (17)-(20) and (22). Center providers are monitored during the inspection using Sections 22 and 24 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Center-IM-All-In-One.pdf>.

R381-70-This facility type does not care for infants.

R381-60-22(1)-(8), (9), (11), (17) through (20), and (22). Hourly Center providers are monitored during the inspection using Sections 22 and 24 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Hourly-IM-All-In-One.pdf>

R381-40 This facility type does not care for infants.

R430-90-22(1)-(8), (9), (11), (17) through (20), and (22). Licensed Home providers are monitored during the inspection using Sections 22 and 24 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Licensed-Family-IM-All-In-One.pdf>.

R430-50-22(1)-(8), 24(9), (11), (17) through (20), and (22). Residential Certificate providers are monitored during the inspection using Sections 22 and 24 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Residential-Certificate-IM-All-In-One.pdf>.

DWSFFN-7(6)(h). DWS FFN providers are monitored during the inspection using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and section 7-Personnel and Training in the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit.

LEDWS-7(8)(h) and 10(h). LE DWS providers are monitored during inspections using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and section 7-Personnel and Training of the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQNCsBeU/edit>.

Amended: Effective Date 11/01/2022

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for this training requirement(s), including citations for both licensed and license-exempt providers.

The citations are found in the Child Care Licensing Administrative Rules as follows:
<https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>

Interpretation Manual as follows: R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>.

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>.

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE->

Inspection-Checklist-MASTER.pdf

DWS FFN providers are monitored during the inspection using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit.

LE DWS providers are monitored during inspections using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 15-Personnel and Training in the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQNCsBeU/edit>.

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.3 Administration of medication

Administration of medication, consistent with standards for parental consent.

Amended: Effective Date 11/01/2022

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs.

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.

- ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.

There are no variations.

- iii. The Lead Agency must certify that the identified health and safety standard(s) is(are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> and as follows:

R381-100-17(4). Center providers are monitored during the inspection using Section

17: Medications of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>

R381-70-17(4). Out of School Time Center providers are monitored during the inspection using Section 17: Medications of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>.

R381-60-17(4). Hourly center providers are monitored during the inspection using Section 17: Medications of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40-17(4) Commercial Preschool center providers are monitored during the inspection using Section 17: Medications of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>.

R430-90-17(4) Licensed Home providers are monitored during the inspection using Section 17: Medications of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-17(4) Residential Certificate providers are monitored during the inspection using Section 17: Medications of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>

DWSFFN-17(2) DWS FFN providers are monitored during the inspection using section 17-Medications of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and section 17-Medications in the Interpretation Manual

LEDWS-17(2) LE DWS providers are monitored during inspections using section 17-Medications of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and section 17-Medications in the Interpretation Manual.

Amended: Effective Date 11/01/2022

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers.

Child Care Licensing Administrative Rules as follows: R381-100-7, R381-70-7, R381-60-7, R381-40-7, R430-90-7, and R430-50-7, DWSFFN-7 Personnel and Training, LEDWS-7 Personnel and Training. See also DWS Administrative Rules Interpretation Manual as follows: R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at

<https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>.

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>.

DWSFFN-7(k). DWS FFN providers are monitored during the inspection using section 7- Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and section 7-Personnel and Training in the Interpretation Manual.

LEDWS-7(k) and 10(k). LE DWS providers are monitored during inspections using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and section 7-Personnel and Training in the Interpretation Manual.

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below how the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.4 Prevention and response to food and allergic reactions.

Prevention of and response to emergencies due to food and allergic reactions.

Amended: Effective Date 11/01/2022

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs.

To help prevent emergencies due to allergic reactions, the rules 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 EpiPen, 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 five days after the emergency occurs if the child received medical attention.

- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), _____

licensing status (i.e. licensed, license-exempt), and the age of the children in care.
There are no variations.

- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> and as follows:

R381-100-6(11)(h); 7(18)(l), and (3); 14(2), and (10)(a)-(c); and 16(3)(a)-(b).

Center providers are monitored during the inspection using the corresponding sections in the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>

All center providers follow the same rules in sections 6, 7, 14, and 16 and monitoring is done using their respective inspection checklists.

R381-70 All center providers follow the same rules in sections 6, 7, 14, and 16 and monitoring is done using their respective inspection checklists.

R381-60 All center providers follow the same rules in sections 6, 7, 14, and 16 and monitoring is done using their respective inspection checklists.

R381-40 All center providers follow the same rules in sections 6, 7, 14, and 16 and monitoring is done using their respective inspection checklists.

R430-90-6(10)(h) p 6; 7(13), and (19); 14(2), and (10)(a)-(c); and 16(3)(a)-(b). Home providers are monitored during the inspection using sections 6, 7, 14, and 16 in the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50 All home providers follow the same rules in sections 6, 7, 14, and 16 and monitoring is done using their respective inspection checklists.

DWSFFN-16(3) and 17(3) DWS FFN providers are monitored during the inspection using section 16-Food and Nutrition and section 17-Medication section of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 16-Food and Nutrition and Section 17-Medications in the Interpretation Manual.

LEDWS-16(3) and 17(3) LE DWS providers are monitored during inspections using section 16-Food and Nutrition and Section 17-Medications of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 16-Food and Nutrition and section 17-Medications in the Interpretation Manual.

Amended: Effective Date 11/01/2022

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers.

Child Care Licensing Administrative Rules Interpretation Manual is found at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> for all provider types and as follows:

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>.

DWSFFN 7-(6)(j)(k). DWS FFN providers are monitored during the inspection using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and section 7-Personnel and Training in the Interpretation Manual.

LEDWS 7-(8)(j)(k) and 7-(10)(j)(k). LE DWS providers are monitored during the inspection by using section 7-Personnel and Training of the inspection checklist found at and section 7-Personnel and Training and in the Interpretation Manual.

- ii. Describe any variations in training requirements for the standard(s). Do training

requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.5 Building and physical premises safety

Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic.

Amended: Effective Date 11/01/2022

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs.

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.

2. 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.

3. 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.

ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home),

licensing status (i.e. licensed, license-exempt), and the age of the children in care.
There are no variations.

- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> and as follows:

R381-100-9 Each rule in Section 9: Facility addresses building and physical premises safety, including fences to protect children from hazards such as bodies of water and vehicular traffic. Providers are monitored during the inspection using Section 9: Facility of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>

R381-70-9 Each rule in Section 9: Facility addresses building and physical premises safety, including fences to protect children from hazards such as bodies of water and vehicular traffic. All center providers follow the same rules in section 9 and monitoring is done using their respective inspection checklists.

R381-60-9 Each rule in Section 9: Facility addresses building and physical premises safety, including fences to protect children from hazards such as bodies of water and vehicular traffic. All center providers follow the same rules in section 9 and monitoring is done using their respective inspection checklists.

R381-40-9 Each rule in Section 9: Facility addresses building and physical premises safety, including fences to protect children from hazards such as bodies of water and vehicular traffic. All center providers follow the same rules in section 9 and monitoring is done using their respective inspection checklists.

R430-90-9 Each rule in Section 9: Facility addresses building and physical premises safety, including fences to protect children from hazards such as bodies of water and vehicular traffic.

Providers are monitored during the inspection using Section 9: Facility of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-9 Each rule in Section 9: Facility addresses building and physical premises safety, including fences to protect children from hazards such as bodies of water and vehicular traffic. All center providers follow the same rules in Section 9 and monitoring is done using their respective inspection checklists.

DWSFFN-7. DWS FFN providers are monitored during the inspection using Section 9: Facility of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 9-Facility in the

Interpretation Manual.

LEDWS-7. LE DWS providers are monitored during inspections using Section 9: Facility of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf>. and Section 9-Facility in the Interpretation Manual.

Amended: Effective Date 11/01/2022

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers.

The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> and as follows:

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>.

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>.

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>.

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>.

DWSFFN 7-(6)(j)(k). DWS FFN providers are monitored during the inspection using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf>

and Section 7-Personnel and Training in the Interpretation Manual.

LEDWS 7-(8)(d) and 7-(10)(d). LE DWS providers are monitored during the inspection by using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and section 7-Personnel and Training in the Interpretation Manual.

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.6 Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment.

Amended: Effective Date 11/01/2022

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the

practices which must be implemented by child care programs.

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.

- ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.
There are no variations.
- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> and as follows:

R381-100-12(1)-(6); and 24(1)-(6). Center providers are monitored during the inspection using Sections 12 and 24 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>.

R381-70. This facility type does not care for infants.

R381-60-12(1)-(6); and 24(1)-(6). Hourly Center providers are monitored during the inspection using Sections 12 and 24 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40. This facility type does not care for infants.

R430-90-12(1)-(6); and 24(1)-(6). Center providers are monitored during the inspection using Sections 12 and 24 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-12(1)-(6); and 24(1)-(6). Center providers are monitored during the inspection using Sections 12 and 24 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>

DWSFFN-7(g). DWS FFN providers are monitored during the inspection using section 7- Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and section 7- Personnel and Training in the Interpretation Manual

LEDWS-7(8)(g) and 10(g). LE DWS providers are monitored during inspections using section 7- Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and section 7- Personnel and Training in the Interpretation Manual.

Amended: Effective Date 11/01/2022

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers.

Child Care Licensing Administrative Rules Interpretation Manual as follows:

<https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the Inspection Checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf> and section 7 in the Interpretation Manual found at <https://docs.google.com/document/d/1UzPD0yVBAart3IJlcpomi1IBptMcl4ZcrKKJ48xAW60/edit>.

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the Inspection Checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf> and section 7 in the Interpretation Manual found at <https://docs.google.com/document/d/1UazH9quaam61HwIENOi9hkMhvbLIITSaBuOJwY0S0bg/edit>.

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the Inspection Checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf> and Section 7 of the Interpretation Manual found at <https://docs.google.com/document/d/1Lme5cZF1qFTdzOSoXYNCF94pFKI4NoG1tV-TBLSPI8/edit>.

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf> and section 7 of the Interpretation Manual found at <https://docs.google.com/document/d/1hpPHnWhekICMvfSF8njvzzbg7u64Yikr1dZIJCFAt8/edit>.

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the Inspection Checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf> and section 7 of the Interpretation Manual found at <https://docs.google.com/document/d/1zGAZYtdbX8SJuy-Hz5rMHju-kqrOruWPW02ReXYLU2I/edit>.

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection Checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf> and section 7 of the Interpretation Manual found at <https://docs.google.com/document/d/1Ok0amgGjEdgcwcS6oMMCPscisoJ->

veRrW62BKWzlw-8/edit.

DWSFFN 7-(6)(g). DWS FFN providers are monitored during the inspection using Section 7-Personnel and Training of the Inspection Checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and section 7-Personnel and Training of the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit.

LEDWS 7(9)-(11). LE DWS providers are monitored during the inspection by using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and section 7-Personnel and Training of the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQN CsBeU/edit>.

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.7 Emergency Preparedness and Response Planning

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.

Amended: Effective Date 11/01/2022

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs.

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 standard applies to staff, volunteers and anyone who has access to unsupervised children.

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 written emergency preparedness, response, and recovery plan that:

(a) includes procedures for evacuation, relocation, shelter in place, lockdown, communication with and reunification of families, and continuity of operations;

(b) includes procedures for accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions;

(c) is available for review by parents, staff, and the departments during business hours; and

(d) is followed if an emergency happens, unless otherwise instructed by emergency personnel.

The written plan must be reviewed as part of the caregiver pre-service and ongoing training.

- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.

There are no variations.

- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual as follows:

<https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>

R381-100-14(1)-(14); 6(9); 6(11)-(12); Center providers are monitored during the inspection using Sections 6 and 14 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf> and the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Center-IM-All-In-One.pdf>.

R381-70-14(1)-(14); 6(9); 6(11)-(12); Out of School Time Center providers are monitored during the inspection using Sections 6 and 14 of the inspection checklist

found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf> and the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Out-of-School-Time-IM-All-In-One.pdf>.

R381-60-14(1)-(14); 6(9); 6(11)-(12); Hourly Center providers are monitored during the inspection using Sections 6 and 14 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf> and <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Hourly-IM-All-In-One.pdf>.

R381-40-14(1)-(12); 6(9); 6(11)-(12); Commercial Preschool Center providers are monitored during the inspection using Sections 6 and 14 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Commercial-Preschool-Program-IM-All-In-One.pdf>.

R430-90-14(1)-(12); 6(9); 6(11)-(12); Home providers are monitored during the inspection using Sections 6 and 14 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Licensed-Family-IM-All-In-One.pdf>.

R430-50-14(1)-(12); 6(9); 6(11)-(12); Home providers are monitored during the inspection using Sections 6 and 14 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Residential-Certificate-IM-All-In-One.pdf>.

DWSFFN-7(8)(a). DWS FFN providers are monitored during the inspection using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Personnel and Training of the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit.

LEDWS-7(8)(a) and 10(a). LE DWS providers are monitored during inspections using section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training of the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQNCsBeU/edit>.

Amended: Effective Date 01/01/2023

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed

and license-exempt providers.

Child Care Licensing Administrative Rules Interpretation Manual as follows:

<https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://docs.google.com/document/d/1UzPD0yVBAart3IJKpomi1IBptMcl4ZcrKKJ48xAW60/edit>.

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf> and in the interpretation manual found at <https://docs.google.com/document/d/1UazH9quaam61HwIENoi9hkMhvbLIITSaBuOJwY0S0bg/edit>.

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf> and in the interpretation manual found at <https://docs.google.com/document/d/1Lme5cZFlqFTdzOSoXYNCF94pFKI4NoG1tV-TBLSPIP8/edit>.

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://docs.google.com/document/d/1hpPHnWheklCMvfSF8njvzzbg7u64Yikr1dZIJCFat8/edit>.

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Licensed-Family-IM-All-In-One.pdf>.

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Residential-Certificate-IM-All-In-One.pdf>.

DWSFFN 7-(6)(a)(j). DWS FFN providers are monitored during the inspection using Section 7-Personnel and Training of the inspection checklist found at

<https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Personnel and Training of the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit.

LEDWS 7-8(a)(j) and 7-10(a)(j). LE DWS providers are monitored during the inspection by using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training of the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQN CsBeU/edit>.

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants.

Amended: Effective Date 11/01/2022

a. Storage

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs.

Child Care Licensing Administrative Rules require providers to be trained and to properly store, handle and dispose of chemicals and other 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.

- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.

There are no variations.

- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual as follows:

<https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>

R381-100-13(9) and (20). Center providers are monitored during the inspection using Section 13 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Center-IM-All-In-One.pdf>.

R381-70-13(9) and (20). Out of School Time providers are monitored during the inspection using Section 13 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Out-of-School-Time-IM-All-In-One.pdf>.

R381-60-13(9) and (20). Hourly Center providers are monitored during the inspection using Section 13 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf> and in the interpretation manual found at [https://childcarelicensing.utah.gov/checklists/HOURLY%20Inspection%20Checklist%20\(Master\).pdf](https://childcarelicensing.utah.gov/checklists/HOURLY%20Inspection%20Checklist%20(Master).pdf) [https://childcarelicensing.utah.gov/checklists/HOURLY%20Inspection%20Checklist%20\(Master\).pdf](https://childcarelicensing.utah.gov/checklists/HOURLY%20Inspection%20Checklist%20(Master).pdf)

R381-40-13(9) and (20). Commercial Preschool providers are monitored during the inspection using Section 13 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Commercial-Preschool-Program-IM-All-In-One.pdf>.

R430-90-13(9) and (20). Licensed Home providers are monitored during the inspection using Section 13 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf> and in the interpretation manual at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Licensed-Family-IM-All-In-One.pdf>.

R430-50-13(9) and (20). Residential Certificate providers are monitored during the inspection using Section 13 of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Residential-Certificate-IM-All-In-One.pdf>.

DWSFFN-7 (6). DWS FFN providers are monitored during the inspection using Section 7-Administration and Children's Records of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Administration and Children's Records in the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit.

LEDWS 6-(1). LE DWS providers are monitored during the inspection by using section 6-Administration and Children's Records of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQNCsBeU/edit>.

Amended: Effective Date 11/01/2022

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers.

Child Care Licensing Administrative Rules Interpretation Manual as follows:

<https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Center-IM-All-In-One.pdf>.

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Out-of-School-Time-IM-All-In-One.pdf>.

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at ([https://childcarelicensing.utah.gov/checklists/HOURLY%20Inspection%20Checklist%20\(Master\).pdf](https://childcarelicensing.utah.gov/checklists/HOURLY%20Inspection%20Checklist%20(Master).pdf))
[https://childcarelicensing.utah.gov/checklists/HOURLY%20Inspection%20Checklist%20\(Master\).pdf](https://childcarelicensing.utah.gov/checklists/HOURLY%20Inspection%20Checklist%20(Master).pdf)

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Commercial-Preschool-Program-IM-All-In-One.pdf>.

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf> and in the interpretation manual at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Licensed-Family-IM-All-In-One.pdf>.

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Residential-Certificate-IM-All-In-One.pdf>.

([https://health.utah.gov/licensing/checklists/RESIDENTIAL CERTIFICATE Inspection Checklist \(MASTER\).pdf](https://health.utah.gov/licensing/checklists/RESIDENTIAL%20CERTIFICATE%20Inspection%20Checklist%20(MASTER).pdf)) [https://health.utah.gov/licensing/checklists/RESIDENTIAL CERTIFICATE Inspection Checklist \(MASTER\).pdf](https://health.utah.gov/licensing/checklists/RESIDENTIAL%20CERTIFICATE%20Inspection%20Checklist%20(MASTER).pdf)

DWSFFN 7-(6)(d). DWS FFN providers are monitored during the inspection using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Administration and Children's Records in the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit.

LEDWS 7-(8)(d) and 7-(10)(d). LE DWS providers are monitored during the inspection by using section 7-Personnel and Training of the inspection checklist found at

<https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQN CsBeU/edit>.

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.9 Precautions in transporting children

Precautions in transporting children (if applicable).

Amended: Effective Date 11/01/2022

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the

practices which must be implemented by child care programs.

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.

- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.
There are no variations.
- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules as follows:

<https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>

R381-70-20(1)-(5). Same rules for all facility types (Homes and centers). Monitoring is done at the inspection using the respective checklist.

R381-100-20, R381-70-20, R381-60-20, R381-40-20, R430-90-20, and R430-50-20, DWSFFN-20.

DWS FFN providers are monitored during the inspection using Section 20-Transportation of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 20-Transportation of the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit

LEDWS-20. LE DWS providers are monitored during inspections using section 20-Transportation of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQNCsBeU/edit>.

Amended: Effective Date 11/01/2022

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirements, including citations for both licensed and license-exempt providers.

The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual as follows:

<https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf> and in the interpretation manual at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Center-IM-All-In-One.pdf>.

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Out-of-School-Time-IM-All-In-One.pdf>.

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Hourly-IM-All-In-One.pdf>.

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during

the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Commercial-Preschool-Program-IM-All-In-One.pdf>.

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf> and in the Interpretation Manual at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Licensed-Family-IM-All-In-One.pdf>.

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf> and in the interpretation manual found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Residential-Certificate-IM-All-In-One.pdf>.

DWSFFN 7-(6)(j)(k). DWS FFN providers are monitored during the inspection using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit.

LEDWS 7-(8)(j)(k) and 7-(10)(j)(k). LE DWS providers are monitored during the inspection by using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQNCsBeU/edit>.

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.10 Pediatric first aid and pediatric cardiopulmonary resuscitation (CPR).

Amended: Effective Date 11/01/2022

a. Standards

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs.

Providers are required by rule to make sure there is always a person present at the facility, during transportation, and during off site 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 off site activities is required to be certified. This requirement applies to all CCDF providers. Having at least one individual trained and certified is also part of the facility emergency preparedness, response, and recovery plan.

- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.
There are no variations.

- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> as follows:

R381-100-7(23)-(25). Licensed Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>.

R381-70-7(23)-(25). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>.

R381-60-7(23)-(25). Hourly Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40-7(23)-(25). Commercial preschool providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>.

R430-90-7(19)-(21). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-7(17)-(19). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>.

DWSFFN-7(b). DWS FFN providers are monitored during the inspection using Section 7- Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual.

LEDWS-7(8)(b) and 10(b). LE DWS providers are monitored during inspections using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual.

Also, R381-100-14, R381-70-14, R381-60-14, R381-40-14, R430-90-14, R430-50-14 and DWSFFN-14, LEDWS-14.

Amended: Effective Date 11/01/2022

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers.

The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> as follows:

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>.

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>

DWSFFN 7-(6)(e). DWS FFN providers are monitored during the inspection using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Personnel and Training in Interpretation Manual.

LEDWS 7-(8)(e) and 7-(10)(e). LE DWS providers are monitored during the inspection by using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
 - Pre-Service
 - Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - Yes
 - No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.11 Recognition and reporting of child abuse and neglect

Recognition and reporting of child abuse and neglect. Note: The description must include a certification that child care providers within the state comply with the child abuse reporting requirements of section 106(b)(2)(B)(i) of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i)).

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a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs.

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.

- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.
There are no variations.
- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers.

The standards are in effect and are enforced through monitoring during both announced and unannounced inspections. The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> as follows:

R381-100-12(1)-(6). Licensed Center providers are monitored during the inspection using Section 12: Child Guidance and Interaction of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>

R381-70-12(1)-(6). Out of School Time Center providers are monitored during the inspection using Section 12: Child Guidance and Interaction of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>

R381-60-12(1)-(6). Hourly Center providers are monitored during the inspection using Section 12: Child Guidance and Interaction of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40-12(1)-(6). Commercial Preschool providers are monitored during the inspection using Section 12: Child Guidance and Interaction of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>.

R430-90-12(1)-(6). Licensed Home providers are monitored during the inspection using Section 12: Child Guidance and Interaction of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-12(1)-(6). Residential Certificate providers are monitored during the inspection using Section 12: Child Guidance and Interaction of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL->

CERTIFICATE-Inspection-Checklist-MASTER.pdf.

DWSFFN-12(2). DWS FFN providers are monitored during the inspection using section 12-Child Guidance and Interaction of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 12-Child Guidance and Interaction in the Interpretation Manual.

LEDWS-12(2). LE DWS providers are monitored during inspections using Section 12-Child Guidance and Interaction of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 12-Child Guidance and Interaction in the Interpretation Manual.

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b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for this training requirement(s), including citations for both licensed and license-exempt providers.

The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> as follows:

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>.

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>.

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>.

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection

checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>

DWSFFN 7-(6)(e). DWS FFN providers are monitored during the inspection using Section 7- Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual.

LEDWS 7-(8)(e) and 7-(10)(j)(k). LE DWS providers are monitored during the inspection by using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual.

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.12 Child development

Child Development. Lead Agencies are required to describe in their plan how training addresses child development principles, including the major domains of cognitive, social, emotional, physical development and approaches to learning (98.44(b)(1)(iii)).

Amended: Effective Date 11/01/2022

a. Pre-Service and Ongoing Training

- i. Describe the training content and provide the citation(s) for the training requirement(s). Include citations for both licensed and license-exempt providers.

Principles of child growth and development is a topic required for preservice and ongoing training. Required training also includes section 18 Activities of the Child Care Licensing Administrative Rules. This section addresses developmental principles including the major domains of cognitive, social, emotional, language, and physical development. This section also requires the provider to offer daily activities for the children addressing the stated developmental areas.

The citations are found in the Child Care Licensing Administrative Rules Interpretation Manual for all provider types at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/> as follows:

R381-100-7(18) and (20). Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/CENTER-Inspection-Checklist-MASTER.pdf>

R381-70-7(18) and (20). Out of School Time Center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/OST-Inspection-Checklist-Master.pdf>.

R381-60-7(18) and (20). Hourly center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/HOURLY-Inspection-Checklist-Master.pdf>.

R381-40-7(18) and (20). Commercial Preschool center providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/PRESCHOOL-Inspection-Checklist-MASTER.pdf>

R430-90-7(13) and (15). Licensed Home providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/LICENSED-FAMILY-Inspection-Checklist-MASTER.pdf>.

R430-50-7(13) and (14). Residential Certificate providers are monitored during the inspection using Section 7: Personnel and Training Requirements of the inspection

checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/RESIDENTIAL-CERTIFICATE-Inspection-Checklist-MASTER.pdf>.

DWSFFN 7-(6)(f) . DWS FFN providers are monitored during the inspection using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-DWS-FFN-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual.

LEDWS 7-(8)(f) and 7-(10)(f). LE DWS providers are monitored during the inspection by using Section 7-Personnel and Training of the inspection checklist found at <https://childcarelicensing.utah.gov/wp-content/uploads/Checklist-LE-DWS-Master.pdf> and Section 7-Personnel and Training in the Interpretation Manual.

- ii. Describe any variations in training requirements for this topic. Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care?

There are no variations.

- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

Pre-Service

Orientation within three (3) months of hire

- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?

Yes

No

- v. How do providers receive updated information and/or training regarding this topic? This description should include methods to ensure that providers are able to maintain and update their understanding of child development principles as described in the topic above.

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 travel to offer training in the different areas of the state. There is also a variety of pre-recorded training materials available, so caregivers can take them on their own time.

Pre-service training is offered online for everyone. During any crisis, all mandatory training topics are required to be completed prior to the Emergency Child Care (ECC) facility 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 training 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.

5.3.13 Ongoing training annual requirements

Provide the number of hours of ongoing training required annually for eligible CCDF providers in the following settings (658E(c)(2)(G)(iii):

a. Licensed child care centers:

At least 20 hours each year.

b. License-exempt child care centers:

At least 20 hours each year.

c. Licensed family child care homes:

At least 20 hours each year for licensed family and at least 10 hours each year for residential certificate.

d. License-exempt family child care homes:

At least 5 hours each year for FFN providers.

e. Regulated or registered In-home child care:

N/A

f. Non-regulated or registered in-home child care:

At least 5 hours each year for FFN providers.

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5.3.14 Optional standards compliance

In addition to the required standards, does the Lead Agency require providers to comply with the following optional standards? If checked, describe the standards, how often the training is required and include the citation. (Please check all that apply)

a. Nutrition:

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:

**the meal service shall meet local health department food service regulations;
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;
the provider shall use the CACFP menus, the standard Department-approved menus, or menus approved by a registered dietitian. Dietitian approval shall be noted and dated on the menus, and shall be current within the past 5 years;**

the current week's menu shall be posted for review by parents and the Department; and 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:

be aware of the children in their assigned group who have food allergies or sensitivities, and 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 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:

labeled with the child's name,
refrigerated if needed, and
consumed only by that child.

Training on this topic is required during pre-service and ongoing training. This topic is addressed in the Child Care Licensing Administrative Rules R381-100-16. The same rule applies to all facility types. See Child Care Licensing Administrative Rules Interpretation Manual <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>. See also DWS Administrative Rules R986-700-705. Eligible Providers and Provider Settings and DWS Eligibility Manual Section 625-1, Child Care Settings.

[x] b. Access to physical activity:

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:

1. Daily activities shall include outdoor play as weather and air quality allow.
2. 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.
3. For each preschool and school-age group, the provider shall post a daily schedule that includes:
 - i. activities that support children's healthy development, and
 - ii. the times activities occur including at least meal, snack, nap or rest, and outdoor play times.
4. Toys, materials, and equipment needed to support children's healthy development shall be available to the children.
5. Except for occasional special events, children's screen time on media such as television, cell phones, tablets, and computers shall:

- i. not be allowed for children 0 to 17 months old;
 - ii. 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
 - iii. be part of a media plan that addresses the needs of children 5 to 12 years old.
6. If swimming activities are offered or if wading pools are used:
- i. the provider shall obtain parental permission before each child in care uses the pool;
 - ii. 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;
 - iii. diapered children shall wear swim diapers whenever they are in the pool;
 - iv. wading pools shall be emptied and sanitized after use by each group of children; if the pool is over four 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
 - v. lifeguards and pool personnel shall not count toward the caregiver-to-child ratio.
7. If offsite activities are offered:
- i. the provider shall obtain written parental consent before each activity;
 - ii. the required caregiver-to-child ratio and supervision shall be maintained during the entire activity;
 - iii. a first aid kit shall be available;
 - iv. children shall wear or carry with them the name and phone number of the center;
 - v. children's names shall not be used on name tags, t-shirts, or in other visible ways; and 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.
8. On every offsite activity, caregivers shall take the written emergency information and releases for each child in the group. The information shall include:
- i. the child's name,
 - ii. the parent's name and phone number,
 - iii. the name and phone number of a person to notify in case of an emergency if the parent cannot be contacted,
 - iv. the names of people authorized by the parents to pick up the child, and

v. current emergency medical treatment and emergency medical transportation releases.

Training on this topic is required during pre-service and ongoing training. This topic is addressed in the Child Care Licensing Administrative Rules R381-100-18. The same rule applies to all facility types found in R381-70-18, R381-60-18, R381-40-18, R430-90-18 and R430-50-18. See Child Care Licensing Administrative Rules Interpretation Manual <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>.

[] c. Caring for children with special needs:

N/A

[] d. 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

5.4 Monitoring and Enforcement Policies and Practices for CCDF Providers

5.4.1 Enforcement of licensing and health and safety requirements.

Lead agencies must certify that procedures are in effect to ensure that all 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 5.4.2.

a. To certify, describe the procedures to ensure that CCDF providers comply with the required Health and Safety **Standards** as described in Section 5.3.

Licensors use electronic checklists to verify compliance with all health and safety requirements. They bring electronic devices 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. A current copy of their fire inspection is also required before their license is renewed.

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.

b. To certify, describe the procedures to ensure that CCDF providers comply with the required Health and Safety Training as described in Section 5.3.

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. Required pre-service training is verified before a new license or approval is given. Pre-service training for current CCDF facilities is verified by the licensor at every annual announced and unannounced inspection. Ongoing training is also verified at the annual inspection and required to be completed before renewal.

c. To certify, describe the procedures to ensure that CCDF providers comply with all other applicable state and local health, safety, and fire standards.

Licensors use electronic checklists to verify compliance with all health and safety requirements. They bring electronic devices 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. A current copy of their fire inspection is also required before their license is renewed.

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.

5.4.2 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 describing, in the questions below, 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.

Amended: Effective Date 11/01/2022

a. Licensed CCDF center-based child care

- i. Describe your state/territory’s policies and practices 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.

- ii. Describe your state/territory’s policies and practices for annual, unannounced inspections of licensed CCDF child care center providers.

1. All child care center providers receive one annual unannounced and one annual announced health and safety inspection. During these inspections, all rules are assessed with the exception of paper work related rules during the unannounced inspection. All violations must be corrected in order to stay in compliance.

2. 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.

3. During inspections, a licensor will:

a. Inspect all rooms, areas, and items that are accessible to children in care including:

- i. Areas that are not used for child care, but are accessible to children.

ii. Areas (such as hallways) that are used by unsupervised children on their way to and from bathrooms, the outside play area, the kitchen, etc.

b. 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:

- i. it is never used by any child in care,
- ii. it is always locked when any child is in care, and
- iii. the provider has a way for the licensor to view the entire room without unlocking it.

c. Inspect outdoor areas and equipment. This includes all locked and unlocked sheds, garages, storage areas, and campers.

4. The licensors use standardized checklists to ensure consistency for each inspection. These checklists are published on the CCL website at: <https://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.

5. 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 inspection certification at renewal each year.

iii. Identify the frequency of unannounced inspections:

A. Once a year

B. More than once a year. Describe:

iv. If applicable, describe the differential monitoring process and how these inspections ensure that child care center providers continue to comply with the applicable licensing standards, including health, safety, and fire standards.

N/A

- v. 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 found at <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Center-IM-All-In-One.pdf>

Utah Code §26-39-301(1)(b)(v)

Child Care Licensing Administrative Rules R381-100-4(2) (Same section and rule for every provider type.)

Amended: Effective Date 11/01/2022

- b. Licensed CCDF family child care home

- i. Describe your state/territory's policies and practices 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.

- ii. Describe your state/territory's policies and practices for annual, unannounced inspections of licensed CCDF family child care providers.

1. All family child care providers receive one annual unannounced and one annual announced health and safety inspection. During these inspections, all rules are assessed with the exception of paper work related rules during the unannounced inspection. All violations must be corrected in order to stay in compliance.

2. 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.

- 3. During inspections, a licensor will:**

a. Inspect all rooms, areas, and items that are accessible to children in care including:

i. Areas that are not used for child care, but are accessible to children.

ii. Areas (such as hallways) that are used by unsupervised children on their way to and from bathrooms, the outside play area, the kitchen, etc.

b. 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:

- i. it is never used by any child in care,
- ii. it is always locked when any child is in care, and
- iii. the provider has a way for the licensor to view the entire room without unlocking it.

c. Inspect outdoor areas and equipment. This includes all locked and unlocked sheds, garages, storage areas, and campers.

4. The licensors use standardized checklists to ensure consistency for each inspection. These checklists are published on the CCL website at <https://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.

5. 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 inspection certification at renewal each year.

iii. Identify the frequency of unannounced inspections:

- A. Once a year
- B. More than once a year. Describe:

iv. If applicable, describe the differential monitoring process and how these inspections

ensure that family child care providers continue to comply with the applicable licensing standards, including health, safety, and fire standards.

N/A

- v. List the citation(s) for your state/territory’s policies regarding inspections for licensed CCDF family child care providers.

Rule Interpretation Manual - Introduction. See <https://childcarelicensing.utah.gov/wp-content/uploads/2022-Licensed-Family-IM-All-In-One.pdf>

c. Licensed in-home CCDF child care

- i. Does your state/territory license in-home child care (care in the child’s own home)?

No

Yes. If yes, answer A – E below:

- A. Describe your state/territory’s policies and practices for pre-licensure inspections of licensed in-home care (care in the child’s own) providers for compliance with health, safety, and fire standards.
- B. Describe your state/territory’s policies and practices for annual, unannounced inspections of licensed CCDF child care in-home care (care in the child’s own home) providers.
- C. Identify the frequency of unannounced inspections:
 1. Once a year
 2. More than once a year. Describe:
- D. If applicable, describe the differential monitoring process and how these inspections ensure that in-home care (care in the child’s own providers continue to comply with the applicable licensing standards, including health, safety, and fire standards.
- E. List the citation(s) for your state/territory’s policies regarding inspections for licensed CCDF in-home care (care in the child’s own home) providers.

d. List the entity(ies) in your state/territory that is responsible for conducting pre-licensure inspections and unannounced inspections of licensed CCDF providers.

The Utah Department of Health, Child Care Licensing conducts pre-licensure inspections and unannounced inspections of licensed CCDF providers.

5.4.3 Inspections for license-exempt center-based and family child care providers.

The Lead Agency 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, and fire standards (658E(c)(2)(K)(i)(IV); 98.42(b)(2)(ii)). Inspections for relative providers will be addressed in question 5.6.4. At a minimum, the health and safety requirements to be inspected must address the standards listed in subsection 5.3 (98.41(a)).

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a. To certify, describe the policies and practices for the annual monitoring of:

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.

1. All license-exempt child care center providers receive one annual unannounced and one annual announced health and safety inspection. During these inspections, all rules are assessed with the exception of paper work related rules during the unannounced inspection. All violations must be corrected in order to stay in compliance.

2. 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.

3. During inspections, a licensor will:

a. Inspect all rooms, areas, and items that are accessible to children in care including:

i. Areas that are not used for child care, but are accessible to children.

ii. Areas (such as hallways) that are used by unsupervised children on their way to and from bathrooms, the outside play area, the kitchen, etc.

b. 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:

i. it is never used by any child in care,

ii. it is always locked when any child is in care, and

iii. the provider has a way for the licensor to view the entire room without unlocking it.

c. Inspect outdoor areas and equipment. This includes all locked and unlocked sheds, garages, storage areas, and campers.

4. The licensors use standardized checklists to ensure consistency for each inspection. These checklists are published on the CCL website at: <https://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.

5. 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 inspection certification at renewal each year.

- i. Provide the citation(s) for this policy or procedure.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under "Inspections". DWSFFN-5 in the Interpretation Manual found at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit and LEDWS-5 in the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQNCsBeU/edit>.

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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.

- 1. All license-exempt child care family providers receive one annual unannounced and one annual announced health and safety inspection. During these inspections, all rules are assessed with the exception of paper work related rules during the unannounced inspection. All violations must be corrected in order to stay in compliance.

2. 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).

3. 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.

4. 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).

5. 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.

6. 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).

7. 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.

8. 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.

- i. Provide the citation(s) for this policy or procedure.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under "Inspections". DWSFFN-5 in the Interpretation Manual at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit and LEDWS-5 in the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQNCsBeU/edit>.

5.4.4 Inspections for license-exempt in-home care (care in the child's own home).

Lead Agencies have the option to develop alternate monitoring requirements for care provided in the child's home that are appropriate to the setting. A child's home may not meet the same standards as other child care facilities and this provision gives Lead Agencies flexibility in conducting more streamlined and targeted on-site inspections. For example, Lead Agencies may choose to monitor in-home providers on basic health and safety requirements such as training and background checks. Lead Agencies could choose to focus on health and safety risks that pose imminent danger to children in care. This flexibility cannot be used to bypass the monitoring requirement altogether. States should develop procedures for notifying parents of monitoring protocols and consider whether it would be appropriate to obtain parental permission prior to entering the home for inspection (98.42(b)(2)(iv)(B)).

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- a. To certify, describe the policies and practices for the annual monitoring of license-exempt in-home care, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring procedures are used.

License-exempt family child care CCDF providers include Family, Friend and Neighbor (FFN) and in-home providers. They 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).

2. 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.**

3. 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).

4. 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.**

5. 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).

6. 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.**

7. 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.

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b. Provide the citation(s) for this policy or procedure.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under "Inspections". DWSFFN-5 in the Interpretation Manual at https://docs.google.com/document/d/1QFcarC_GZuKT1gBB5A5Jy4i8Jlx-NLQBfgKrcBrKYOI/edit and LEDWS-5 in the Interpretation Manual found at <https://docs.google.com/document/d/1wERe9MgVHoJqMG7cUTLa024rZtIYy7UyTtWiQNCsBeU/edit>.

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c. List the entity(ies) in your state/territory that are responsible for conducting inspections of license-exempt CCDF providers:

Utah Department of Health and Human Services (DHHS), Child Care Licensing (CCL) conducts all inspections.

5.4.5 Licensing Inspectors (or qualified inspectors designated by the Lead Agency).

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

1. Child Care Licensing hires licensors who comply with the following qualifications:

a. They can demonstrate experience as an owner or employee at a child care facility.

b. They have at least a bachelor's degree in any field related to child development or early childhood.

c. They can successfully pass a fingerprint-based background check through Utah Public Safety.

2. They receive training for one year before becoming full time vested employees.

b. To certify, describe how inspectors and monitors 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)).

1. 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:

- a. Prevention and control of infectious diseases (including immunization)
- b. Prevention of sudden infant death syndrome and the use of safe-sleep practices
- c. Administration of medication, consistent with standards for parental consent
- d. Prevention of and response to emergencies due to food and allergic reactions
- e. 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.
- f. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment
- g. 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)
- h. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants
- i. Precautions in transporting children.
- j. Pediatric first aid and cardiopulmonary resuscitation (CPR) certification
- k. Recognition and reporting of child abuse and neglect
- l. Nutrition
- m. Access to physical activity

2. 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.

3. All licensors are required to attend a competency-based training once a month. 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 training sessions we address three foundational aspects: Knowledge, skills, and behavior.

4. Licensing has additional required training for all staff such as Crucial Conversations, Strengthsfinder, and all state Human Resources training. In addition, licensors get Pediatric first aid and cardiopulmonary resuscitation (CPR) certified.

5. All licensors receive ongoing observations by their supervisors. These observations are unannounced on-site observations

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c. Provide the citation(s) for this policy or procedure.

Child Care Licensing written Protocol, under "Staff". This is an internal protocol document. Additionally, this is found in the Rules Interpretation Manual Introduction found at https://docs.google.com/document/d/18l6tU8Q5mYGB_u1KTJVke_VpyQefjklyiEsPRBQoIhA/edit.

5.4.6 Ratio of Licensing Inspectors

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 federal, state, and local laws (658E(c)(2)(K)(i)(III); 98.42(b)(3)).

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 efficiency. 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 caseload is 110. The average center licensor caseload is 90. The average license exempt licensor caseload is 110.

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b. Provide the policy citation and state/territory ratio of licensing inspectors.

Child Care Licensing written Protocol, under "Staff". This is an internal protocol document.

Additionally, this is in the Rule Interpretation Manual Introduction found at https://docs.google.com/document/d/18l6tU8Q5mYGB_u1KTJVke_VpyQefjklyiEsPRBQoIhA/edit.

5.5 Comprehensive Background Checks

The CCDBG Act requires states and territories to have in effect requirements, policies and procedures to conduct comprehensive 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 family child care 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)). Exemptions for relative providers will be addressed in 5.6.5.

A comprehensive background check must include eight (8) separate and specific components (98.43(2)(b)), which encompass three (3) in-state checks, two (2) national checks, and three (3) interstate checks (if the individual resided in another state in the preceding 5 years).

5.5.1 Background check requirements

Background Check Requirements. In the table below, certify by checking that the state has policies, and is conducting checks for the required background check components, ensuring that these requirements are in place for all licensed, regulated, or registered child care providers and for all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i), 98.43(a)(2) and 98.16(o).

a. Components of In-State Background Checks

i. Criminal registry or repository using fingerprints in the current state of residency

Licensed, regulated, or registered child care providers

Citation:

Child Care Licensing Administrative Rules R381-100-2; Rules R381-100-8 (same rule applies to all provider types) Also, 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

All other providers eligible to deliver CCDF Services

Citation:

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. Sex offender registry or repository check in the current state of residency

Licensed, regulated, or registered child care providers

Citation:

Child Care Licensing Administrative Rules R381-100-2; Rules R381-100-8 (same rule applies to all provider types) Also, 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

All other providers eligible to deliver CCDF Services

Citation:

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

iii. Child abuse and neglect registry and database check in the current state of residency

Licensed, regulated, or registered child care providers

Citation:

Child Care Licensing Administrative Rules R381-100-2; Rules R381-100-8 (same rule applies to all provider types), Rule Interpretation Manual Section 8; Background Checks p 2 for all provider types.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

All other providers eligible to deliver CCDF Services

Citation:

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

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b. Components of National Background Check

i. FBI Fingerprint Check

Licensed, regulated, or registered child care providers

Citation:

Child Care Licensing Administrative Rules R381-100-2; Rules R381-100-8 (same rule applies to all provider types)

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

All other providers eligible to deliver CCDF Services

Citation:

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

ii. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) name-based search

Licensed, regulated, or registered child care providers

Citation:

Child Care Licensing Administrative Rules R381-100-2; Rules R381-100-8 (same rule applies to all provider types). Rule Interpretation Manual Section 8; Background Checks for all provider types. The Administrative Rules and Interpretation Manual can be found at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

All other providers eligible to deliver CCDF Services

Citation:

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

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c. Components of Interstate Background Checks

i. 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.

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 to mitigate any gaps that may exist between the two sources (unless the responding state participates in the National Fingerprint File program).

Licensed, regulated, or registered child care providers

Citation:

Child Care Licensing Administrative Rules R381-100-2; Rules R381-100-8 (same rule applies to all provider types). Rule Interpretation Manual Section 8; Background Checks for all provider types. The Administrative Rules and Interpretation Manual can be found at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

All other providers eligible to deliver CCDF Services

Citation:

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

ii. Sex offender registry or repository in any other state where the individual has resided in the past 5 years.

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) to mitigate any gaps that may exist between the two sources.

Licensed, regulated, or registered child care providers

Citation:

Child Care Licensing Administrative Rules R381-100-2; Rules R381-100-8 (same rule applies to all provider types). The Administrative Rules and Interpretation Manual can be found at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

All other providers eligible to deliver CCDF Services

Citation:

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

iii. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years

Note: This is a name-based search

Licensed, regulated, or registered child care providers

Citation:

Child Care Licensing Administrative Rules R381-100-2; Rules R381-100-8 (same rule applies to all provider types). The Administrative Rules and Interpretation Manual can be found at <https://childcarelicensing.utah.gov/child-care-providers/rules-and-requirements/>.

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

All other providers eligible to deliver CCDF Services

Citation:

License Exempt Department of Workforce Services (DWS) Approval Requirements, written protocol under 2) Background Checks.

Utah Code §26-39-404

5.5.2 Procedures for a Provider to Request a Background Check.

Child care providers are required to submit requests for background checks for each of their staff members to the appropriate state or territorial agency, which is to be defined clearly on the state or territory Web site. Family child care home providers must also submit background check requests for all household members over the age of 18. The requests must be submitted prior to when the individual becomes a staff member and must be completed at least once every five years per § 98.43(d)(1) and (2). The state or territory must ensure that its policies and procedures under this section, including the process by which a child care provider or other

state or territory may submit a background check request, are published on the web site of the state or territory as described in § 98.43(g) and the web site of local lead agencies.

a. Describe the state/territory procedure(s) for a provider to request the required background checks. If the process is different based on provider type, please include that in this description. If the process is different based on each background check component, please include that in this description.

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, exempt, 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. CCL posts a list of available fingerprint locations throughout the state on their website.

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

b. The state/territory must ensure 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. What are the fees and how do you ensure that these fees do not exceed the actual cost of processing and administering the background checks? Lead Agencies can report that no fees are charged if applicable (98.43(f)).

The cost for a background check is \$20 plus \$33.25 if the individual requires fingerprints. These fees do not exceed the actual cost of processing and administrating. CRRSA funds are currently being used to pay for these expenses for all covered individuals.

c. Describe the state/territory policy(ies) related to prospective staff members working on a provisional basis. Pending completion of all background check components in 98.43(b), the prospective staff member must be supervised at all times by an individual who received a qualifying result on a background check described in 98.43(b) within the past 5 years (98.43(c)(4)) and the prospective staff member must have completed and received 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 prospective staff member resides. Describe and include a citation for the Lead Agency's policy:

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.

d. Describe the procedure for providers to request background checks for staff members that resided in another state within the previous 5 years.

To complete a background check, individuals involved with any child care facility can submit an online background check form. The applicant must complete the form indicating if they have resided outside of the state in the past five years. If so, they must list those states. The form is the same for all applicants.

e. Describe the procedure to ensure each staff member completes all components of the background check process at least once during each 5-year period. If your state enrolls child care staff members in the FBI Rap Back Program or a state-based rap back program, please include that in this description. Note: An FBI Rap Back program only covers the FBI Fingerprint component of the background check. If child care staff members are enrolled in a state-based rap back, please indicate which background check components are covered by this service.

Utah enrolls child care staff members in a state-based rap back system. This system provides criminal records and national sex offender registry. All other components of the background check are completed by CCL annually at no charge to the applicant. This components include CPS, sex offender registries, juvenile records, and the drivers license division to make sure the individual has not resided outside of the state.

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.

f. Describe the procedure to ensure providers who are separated from employment for more than 180 consecutive days receive a full background check.

The CCL database keeps track of individuals with a current background check. If an individual has not been associated with any facility for 180 days, the database produces a report and invalidates the individual's background check, so the individual has to request a new one if they desire to become associated with a child care facility again.

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g. Provide the website link that contains instructions on how child care providers should initiate background check requests for a prospective employee (98.43(g)).

<https://childcarelicensing.utah.gov/background-checks/>

5.5.3 Procedures for a Lead Agency to Respond to and Complete a Background Check.

Once a request has been initiated, the state shall carry out the request of a child care provider for a criminal background check as expeditiously as possible, but not to exceed 45 days after the date on which such request was submitted. The Lead Agency shall make the determination whether the prospective staff member is eligible for employment in a child care program (98.43(e)(1)). Lead Agencies must ensure the privacy of background checks by providing the results of the criminal background check to the requestor or identified recipient in a statement that indicates whether a child care staff member (including a prospective child care staff member or a family child care household member over the age of 18) is eligible or ineligible for employment, without revealing any documentation of criminal history or disqualifying crimes or other related information regarding the individual. In the following questions, describe the Lead Agency's procedures for conducting background checks. These responses should include:

- The name of the agency that conducts the investigation; include multiple names if multiple agencies are involved in different background check components
- How the Lead Agency is informed of the results of each background check component
- Who makes the determinations regarding the staff member's eligibility? Note: Disqualification decisions should align to the response provided in 5.5.7.
- How the Lead Agency ensures that a background check request is carried out as quickly as possible and not more than 45 days after a request is submitted.

a. Describe the procedures for conducting In-State Background Check requests and making a determination of eligibility.

As part of the initial and renewal licensure or approval process, all CCDF 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.

This process is the same as for the interstate checks and all required components are included in the check.

Fingerprints are sent to Public Safety and the results are received by CCL. 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.

b. If the procedure is different for National Background checks, including the name-based NCIC NSOR check and FBI fingerprint check, please describe here.

The procedure is the same for national background checks.

c. Describe the procedures for conducting Interstate Background Check requests and making a determination of eligibility. (Note this response should detail how a state conducts an interstate check for a provider who currently lives in their state or territory but has lived in another state(s) within the previous five years).

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 CCDF providers.

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. We use all contact lists available for the states where covered individuals have resided, and work closely with those states to make sure that list is as current as possible. All possible efforts are made to ensure the state where the information resides responds to CCL's requests in a timely manner.

d. Describe the procedure the Lead Agency has in place to make an eligibility determination in the event not all the components of the background check are completed within the required 45-day timeframe.

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".

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.

e. Describe procedures for conducting a check when the state of residence is different than the state in which the staff member works.

Utah only allows individuals who reside in Utah to be in the child care employment registry.

5.5.4 "Compact State" and participation in the National Fingerprint File program

State designation as a "Compact State" and participation in the National Fingerprint File program.

a. "Compact States" are states that have ratified the National Crime Prevention and Privacy Compact Act of 1998 in order to facilitate electronic information sharing for noncriminal justice purposes (such as employment) among the Federal Government and states. More information can be found here: <https://www.fbi.gov/services/cjis/compact-council>. The Compact allows signatory states to disseminate its criminal history record information to other states for noncriminal justice purposes in accordance with the laws of the receiving state. For the most up-to-date Compact States and Territories map visit: <https://www.fbi.gov/services/cjis/compact-council/maps>. Is your state or territory a Compact State?

No

Yes

b. The National Fingerprint File (NFF) is a database of fingerprints, or other unique personal

identification information relating to an arrested or charged individual, which is maintained by the FBI to provide positive fingerprint identification of record subjects. Only a state or territory that has ratified the Compact (a Compact State) may join the NFF program. An FBI fingerprint check satisfies the requirement to perform an interstate check of another state's criminal history record repository if the responding state (where the child care staff member has resided within the past 5 years) participates in the NFF program. It is unnecessary to conduct both the FBI fingerprint check and the search of an NFF state's criminal history record repository (refer to CCDF-ACF-PIQ-2017-01). For the most up-to-date NFF Participation map visit: <https://www.fbi.gov/services/cjis/compact-council/maps>. Is your state or territory an NFF State?

No

Yes

5.5.5 Respond to Interstate Background Checks

Procedures for a Lead Agency to Respond to Interstate Background Checks: Interstate

Amended: Effective Date 11/01/2022

a. Criminal History Registry Check Procedures

Provide a description of how the state or territory responds to interstate criminal history check requests from another state and whether there are any laws or policies that prevent the state from releasing certain criminal history information to an out-of-state entity for civil purpose (i.e., for purposes of determining employment eligibility).

Utah 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 with the 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. However, CCL has posted information on their website for other states to know how to request this information from Utah. <https://childcarelicensing.utah.gov/background-checks/background-check-requests-from-other-states/>

A qualifying entity can request the individual's criminal record through the Utah Department of Public Safety. This is permitted by Utah Code Annotated 53-10-108 and Public Law 105-251. For more information and the request application, go to Utah Department of Public Safety Employment Background Check Forms at <https://bci.utah.gov/obtaining-utah-criminal-history-records-of-your-employees/employment-background-check-forms/>

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b. Interstate Sex Offender Registry Check Procedures

Provide a description of how the state or territory responds to interstate sex offender history check requests from another state and whether there are any laws or policies that prevent the state from releasing certain sex offender information to an out-of-state entity for civil purpose (i.e., for purposes of determining employment eligibility).

The requesting state will have to check with the 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. However, CCL has posted information on their website for other states to know how to request this information from Utah. <https://childcarelicensing.utah.gov/background-checks/background-check-requests-from-other-states/>

The Utah Sex Offender Registry is managed by the Utah Department of Corrections and is accessible to the public. To see if an individual is listed in the Utah Sex Offender Registry, go to Utah Department of Corrections Sex and Kidnap Offender Notification and Registration at https://www.communitynotification.com/cap_office_disclaimer.php?office=54438.

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c. Interstate Child Abuse and Neglect Registry Check Procedures

Provide a description of how the state or territory responds to interstate child abuse and neglect history check requests from another state and whether there are any laws or policies that prevent the state from releasing certain child abuse and neglect information to an out-of-state entity for civil purpose (i.e., for purposes of determining employment eligibility).

Utah 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 with the 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. However, CCL has posted information on their website for other states to know how to request this information from Utah. <https://childcarelicensing.utah.gov/background-checks/background-check-requests-from-other-states/>.

The child abuse and neglect registry is managed by the Division of Child and Family Services in the Utah Department of Health and Human Services. To request a report from Utah Child Protective Services, go to Utah Department of Health and Human Services Forms Background Screening Request at <https://dcfs.utah.gov/resources/records-requests/>.

5.5.6 Consumer Education Website Links to Interstate Background Check Processes

Lead Agencies must have requirements, policies, and procedures in place to respond as expeditiously as possible to other States', Territories' and Tribes' requests for background checks in order to meet the 45-day timeframe (98.43(a)(1)(iii)). In addition, Lead Agencies are

required to include on their consumer education website the process by which another Lead Agency may submit a background check request, along with all of the other background check policies and procedures (98.43 (g)).

State and Territory Lead Agencies are required to designate one page of their existing Consumer Education Website as a landing page for all interstate background check related processes and procedures pertaining to their own state. The purpose of having a dedicated interstate background check web page on the Lead Agency Consumer Education Website is to help state and territories implement the interstate background check requirements of the CCDBG Act (CCDF Consumer Education Website and Reports of Serious Injuries and Death (OMB #0970-0473)).

Check to certify that the required elements are included on the Lead Agency's consumer education website for each interstate background check component, and provide the direct URL/website link.

Note: The links provided below should be a part of your consumer education website identified in 2.3.11.

Amended: Effective Date 11/01/2022

a. Interstate Criminal Background Check:

i. Agency Name

ii. Address

iii. Phone Number

iv. Email

v. FAX

vi. Website

vii. Instructions ((e.g. Does a portal/system account need to be created to make a request? What types of identification are needed? What types of payment is accepted? How can a provider appeal the results? How will forms will be accepted and FAQs?)

viii. Forms

ix. Fees

x. Is the state a National Fingerprint File (NFF) state?

xi. Is the state a National Crime Prevention and Privacy Compact State?

xii. Direct URL/website link to where this information is posted.

Enter direct URL/website link:

Instructions on how to request background checks from other states are listed at <https://childcarelicensing.utah.gov/background-checks/>. A link directing other states to this website is also found on the consumer education website, <https://jobs.utah.gov/occ/contact.html>.

The same agency that conducts the local check will be responding to any requests from other states.

The Utah Department of Public Safety maintains the criminal background check system. Information

on criminal background checks can be found at <https://bci.utah.gov/obtaining-utah-criminal-history-records-of-your-employees/employment-background-check-forms/>.

Amended: Effective Date 11/01/2022

b. Interstate Sex Offender Registry (SOR) Check:

i. Agency Name

ii. Address

iii. Phone Number

iv. Email

v. FAX

vi. Website

vii. Instructions ((e.g. Does a portal/system account need to be created to make a request? What types of identification are needed? What types of payment is accepted? How can a provider appeal the results? How will forms will be accepted and FAQs?)

viii. Forms

ix. Fees

x. Direct URL/website link to where this information is posted.

Enter direct URL/website link:

Instructions on how to request background checks from other states are listed at <https://childcarelicensing.utah.gov/background-checks/>. A link directing other states to this website is on the consumer education website, <https://jobs.utah.gov/occ/contact.html>. The same agency that conducts the local check will be responding to any requests from other states.

The Utah Department of Corrections maintains the Utah Sex Offender Registry. Information on the Utah Sex Offender Registry is found at https://www.communitynotification.com/cap_office_disclaimer.php?office=54438.

Amended: Effective Date 11/01/2022

c. Interstate Child Abuse and Neglect (CAN) Registry Check:

i. Agency Name

ii. Is the CAN check conducted through a County Administered Registry or Centralized Registry?

iii. Address

iv. Phone Number

v. Email

vi. FAX

vii. Website

viii. Instructions ((e.g. Does a portal/system account need to be created to make a request? What types of identification is needed? What types of payment is accepted? How can a provider appeal the results? How will forms will be accepted and FAQs?)

ix. Forms

x. Fees

xi. Description of information that may be included in a response to a CAN registry check (including substantiated instances of child abuse and neglect accompanied by the State’s definition of “substantiated” instances of child abuse and neglect.

xii. Direct URL/website link to where this information is posted.

Enter direct URL/website link:

Instructions on how to request background checks from other states are listed at <https://childcarelicensing.utah.gov/background-checks/>. A link directing other states to this website is also found on the consumer education website, <https://jobs.utah.gov/occ/contact.html>.

The same agency that conducts the local check will be responding to any requests from other states.

The Utah Department of Human Services, Division of Child and Family Services, maintains child protective services records. Information on child protective services records is found at <https://dcfs.utah.gov/resources/records-requests/>.

5.5.7 Child Care Staff Member Disqualification

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 (98.43 (c)(1)(i-iii)). 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)(iv-v)).

a. Does the state/territory disqualify child care staff members based on their conviction for any other crimes not specifically listed in 98.43(c)(i)?

No

Yes. If yes, describe other disqualifying crimes and provide the 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: voyeurism;

voyeurism;

pornographic material or performance;

any crime against a person;

a sexual exploitation act; and

driving under the influence (DUI) while a child is present in the vehicle.

Rule Interpretation Manual Section 8 Background Checks (8)(a)-(r) for all provider types.

b. Describe how the Lead Agency notifies the applicant about their eligibility to work in a child care program. This description should detail how the Lead Agency ensures the privacy of background checks. Note: The Lead Agency may not publicly release the results of individual background checks. (98.43(e)(2)(iii)).

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.

c. 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)).

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.

5.5.8 Appeals Processes for Background Checks

States and territories shall provide for a process by which a child care program staff member (including a prospective child care staff member) may appeal the results of a background check to challenge the accuracy or completeness of the information contained in a staff member's background report. The state or territory shall ensure that:

- The child care staff member is provided with information related to each disqualifying crime in a report, along with information/notice on the opportunity to appeal
- A child care staff member will receive clear instructions about how to complete the appeals process for each background check component if the child care staff member wishes to challenge the accuracy or completeness of the information contained in such member's background report
- If the staff member files an appeal, the state or territory will attempt to verify the accuracy of the information challenged by the child care staff member, including making an effort to locate any missing disposition information related to the disqualifying crime

- The appeals process is completed in a timely manner for any appealing child care staff member
- Each child care staff member shall receive written notice of the decision. In the case of a negative determination, the decision should indicate 1) the state's efforts to verify the accuracy of information challenged by the child care staff member, 2) any additional appeals rights available to the child care staff member, and 3) information on how the individual can correct the federal or state records at issue in the case. (98.43(e)(3))
- The Lead Agency must work with other agencies that are in charge of background check information and results (such as the Child Welfare office and the State Identification Bureau), to ensure the appeals process is conducted in accordance with the Act.

a. What is the procedure for each applicant to appeal or challenge the accuracy or completeness of the information contained in the background check report? If there are different appeal process procedures for each component of the check, please provide that in this description, including information on which state agency is responsible for handling each type of appeal. Note: The FBI Fingerprint Check, State Criminal Fingerprint, and NCIC NSOR checks are usually conducted by a state's Identification Bureau and may have different appeal processes than agencies that conduct the state CAN and state SOR checks.

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. Applicants have 15 working days to appeal any decision made by CCL.

CCL does not have the authority to overturn a decision made by another agency, such as the courts, or by child protective services. If the individual desires to challenge a decision made by another agency, the individual will have to follow that other agency policy for appeals. This is the same situation for in-state and outside of the state.

b. If the appeals process is different for interstate checks, what is the procedure for each applicant to appeal or challenge the accuracy or completeness of the information contained in the background report for interstate checks?

CCL does not have the authority to overturn a decision made by another agency, such as the courts, or by child protective services. If the individual desires to challenge a decision made by another agency, the individual will have to follow that other agency policy for appeals. This is the same situation for in-state and outside of the state.

c. Interstate Child Abuse and Neglect (CAN) Registry Check:

CCL does not have the authority to overturn a decision made by another agency, such as the courts, or by child protective services. If the individual desires to challenge a decision made by another agency, the individual will have to follow that other agency policy for appeals. This is the same situation for in-state and outside of the state.

5.6 Exemptions for Relative Providers

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 certain health and safety requirements. Note: This exception applies if the individual cares only for relative children.

Check and describe where applicable the policies that the Lead Agency has regarding exemptions for eligible relative providers for the following health and safety requirements. The description should include the health and safety requirements relatives are exempt from, if applicable, as well as which of the federally defined relatives the exemption applies to.

5.6.1 Licensing Requirements (as described in Section 5.1)

a. Relative providers are exempt from all licensing requirements.

b. Relative providers are exempt from a portion of licensing requirements. Describe.

c. Relative providers must fully comply with all licensing requirements.

5.6.2 Health and Safety Standards (as described in Section 5.2 and 5.3)

a. Relative providers are exempt from all health and safety standard requirements

b. Relative providers are exempt from a portion of health and safety standard requirements. Describe.

c. Relative providers must fully comply with all health and safety standard requirements.

5.6.3 Health and Safety Training (as described in Section 5.3)

a. Relative providers are exempt from all health and safety training requirements.

b. Relative providers are exempt from a portion of all health and safety training requirements. Describe.

c. Relative providers must fully comply with all health and safety training requirements.

5.6.4 Monitoring and Enforcement (as described in Section 5.4)

a. Relative providers are exempt from all monitoring and enforcement requirements.

b. Relative providers are exempt from a portion of monitoring and enforcement requirements. Describe.

c. Relative providers must fully comply with all monitoring and enforcement requirements.

5.6.5 Background Checks (as described in Section 5.5)

a. Relative providers are exempt from all background check requirements.

b. Relative providers are exempt from a portion of background check requirements. If checked, identify the background check components that relatives must complete:

i. Criminal registry or repository using fingerprints in the current state of residency

- ii. Sex offender registry or repository in the current state of residency
 - iii. Child abuse and neglect registry and database check in the current state of residency
 - iv. FBI fingerprint check
 - v. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) name based search.
 - vi. Criminal registry or repository in any other state where the individual has resided in the past five years.
 - vii. Sex offender registry or repository in any other state where the individual has resided in the past five years.
 - viii. Child abuse and neglect registry or data base in any other state where the individual has resided in the past five years.
- c. Relative providers must fully comply with all background check requirements.

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.

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). This section addresses the quality improvement activities implemented by the Lead Agency related to the support of the child care workforce and the development and implementation of early learning and developmental guidelines. It asks Lead Agencies to describe the measurable indicators of progress used to evaluate state/territory progress in improving the quality of child care services. (98.53 (f)) in either of these two areas.

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 Professional development framework for training and professional development

Each state or territory must describe their professional development framework for training, professional development, and post-secondary education for caregivers, teachers and

directors in programs that serve children of all ages. This framework should be 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.

a. Describe how the state/territory's framework for training and professional development addresses the following required elements:

i. 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 for various age groups, including preschool-age children and infants and toddlers, as well as competencies for caregivers and instructors.

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 Core Competencies document is currently in a review and revision process. A workgroup, including the Lead Agency and other early childhood partnering agencies and stakeholders, is being established to work toward updating these competencies with the plan of aligning them more closely with the Professional Standards and Competencies for Early Childhood Educators recently released by the National Association for the Education of Young Children (NAEYC).

The Lead Agency also produced Career Ladder Instructor Competencies for Utah's Early Childhood and Afterschool Workforce. This document was most recently updated in 2020 and is required reading for all instructors 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.

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 professional development and training efforts for caregivers and educators working with the birth to age three age group. The Utah Core State Standards for Early Learning for Ages 3 to 5 were last revised in 2020 and were developed through a committee including representatives from the Lead Agency, Utah State Board of Education, local education agencies, Head Start programs and other state stakeholders. These standards vertically align with the kindergarten Utah Core

Standards and inform and guide training and technical assistance for preschool caregivers and educators.

ii. 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 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. Additionally, suggested education levels for each career are listed.

In addition, Utah has a Career Ladder system that supports professional development of youth and early learning professionals. The initial levels of the Career Ladder address the foundational training in multiple subject areas aligned with what is needed to earn a demonstrated competency within the field, such as the Child Development Associate (CDA) Credential awarded through the Council for Professional Recognition. The next level captures a professional's attainment of a demonstrated competency credential option. Additional higher levels consist of continued specialized training within the field, which can be earned through clock hours, Continuing Education Units (CEUs) or college credits. The highest levels on the Career Ladder are attained through the completion of post-secondary degrees. Within our professional development outreach materials, the Lead Agency has included how the Career Ladder levels may align with different positions and roles within programs, organizations, agencies and institutions across the sector.

iii. 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 childcare, 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 tri-annually 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, a Head Start Program representative, private child care program directors and a statewide early childhood mental health organization. Additional early childhood community members 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 feedback. 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 tri-annual meeting, workgroups may be created. The results of workgroups are presented to the Professional Development Subcommittee for discussion.

iv. Articulation. Describe:

Since 2018, the Lead Agency has utilized the Early EdU Alliance curriculum to host online college-level courses in a partnership with the Utah Education Network and other state stakeholders such as the Utah State Board of Education and the Head Start Collaboration Office. An average of two courses are offered each fall and spring semester through this program. After successful completion of an Early EdU course, participants can apply to earn college credits through a partnership with Southern Utah University's Continuing Education department.

Institutions of higher education within the state were surveyed 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. The Lead Agency continues to work with institutes of higher education on better alignment of articulation for these courses.

Additionally, the Lead Agency is included on Utah Systems of Higher Education (USHE) Early Childhood Education emails and takes part in annual meetings regarding course alignment and articulation across institutions. The Lead Agency joins any additional USHE Early Childhood Education meetings regarding alignment of institutions' policies on Early EdU and CDA articulation and awarding credit for other prior learning. The Lead Agency's input and involvement is ongoing as it advocates for clear educational pathways for individuals working toward a post-secondary degree.

v. Workforce information. Describe:

The Utah Registry for Professional Development: Early Childhood and Youth Care Workforce (URPD) collects and shares data on recruitment, retention, demographics, training hours, credentials 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.

vi. Financing. Describe:

Utah's professional development system is funded through CCDF, TANF and CRRSA funding. TANF funds support professional development for those working with children ages 13 to 18. CCDF 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, professional development advising and consultation, Early EdU college credits and TEACH associate degree scholarships. CRRSA funding is used to offer scholarships for annual online training subscriptions, higher education degrees, Career Ladder approved college courses and conferences as well as additional TEACH associate degree scholarships, TEACH bachelor's degree scholarships and conferences and additional funding for professional development incentives.

b. The following are optional elements, or elements that should be implemented to the extent practicable, in the training and professional development framework.

[x] i. Continuing education unit trainings and credit-bearing professional development to the extent practicable. Describe:

The Career Ladder system accepts any Early Childhood training that awards participants Continuing Education Unit (CEUs); this helps providers to participate who prefer to accomplish their training online or through community organizations that offer CEUs without additional approval steps.

Through Care About Childcare partnering agencies, the Lead Agency offers an online, asynchronous option to earn the CDA Credential through the Quorum eLearning platform. Participants are assigned courses to take monthly and meet with their cohort leader to discuss application and implementation. CEUs are awarded for completion of these online courses.

Additionally, the Lead Agency offers online, college credit-bearing courses hosted through the Early EdU program in 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 post-secondary degree. At the end of each course, additional information is provided to participants regarding ECE degree programs, educational pathways and opportunities, and the T.E.A.C.H. associate degree scholarship program.

The Lead Agency contracts with the Utah Association for the Education of Young Children (UAEYC) to fund T.E.A.C.H. associate degree scholarships for providers employed at a licensed child care center or family child care program. In addition to funding scholarships, UAEYC provides assistance with the enrollment process, counseling services and other resources to assist recipients with completing credit-bearing courses as they work toward a post-secondary degree.

[x] ii. 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, Child Care Licensing and Care About Childcare agencies (host agencies of most Career Ladder face-to-face courses) participate on the Professional Development Subcommittee and in discussions regarding curriculum and policy changes that impact the professional development framework (Career Ladder). The Lead Agency's professional development team hosts a monthly meeting with the Care About Childcare professional development staff who schedule classes, prepare class materials and recruit, train and oversee local instructors to discuss courses and

implementation.

In Utah, instructors become Career Ladder approved through a sponsoring agency in collaboration with the Lead Agency and teach courses 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 all early childhood college credits and CEUs 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.

[] iii. Other. Describe:

N/A

6.1.2 Consultation with state advisory council

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. 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. The Lead Agency's professional development team also participates in the Early Childhood Utah Early Care and Education Subcommittee, which works on initiatives regarding workforce development alignment across the state.

6.1.3 Description of framework

Describe how the framework improves the quality, diversity, stability, and retention of caregivers, teachers, and directors (98.44(a)(7)).

The Lead Agency provides many different types of professional development opportunities to assist with improving the quality, diversity, stability and retention of child care providers. Basic and advanced level curriculum taught through the Care About Childcare (CAC) agencies is being revised on a cyclical basis to incorporate new research and best practices for both educators and leadership in order to make sure child care providers across the state are provided with the most up-to-date information to improve the quality of curriculum being delivered to child care providers and ultimately improve the quality of the workforce. The Lead Agency has recently developed a new series of courses related to the Environment Rating Scale (ERS) Observation Tools that cover best practices related to the tool used for the Child Care

Quality System. In addition, the Lead Agency approves high-quality training from community partners and online entities to allow for child care providers to utilize multiple resources for improving quality and obtaining training applicable to our Career Ladder System. The CAC agencies and many of the other entities we have approved within our system offer professional development in English and Spanish to promote diversity within the workforce. CAC courses and other approved courses are offered in multiple formats and options, including in-person, virtual synchronous and virtual asynchronous. This assists the Lead Agency in improving diversity, stability and retention as well as we can reach child care providers with differing schedules and availability in both rural and urban settings.

Several scholarships and reimbursements for the full cost of nationally-recognized demonstrated competency credentials, such as the Child Development Associate (CDA) Credential and administrator credentials, such as the National Administrator's Credential (NAC), are offered through our contract with the Utah Registry for Professional Development. CDA cohorts are run out of each of the six regional CAC agencies providing fully subsidized classes to those participating in a cohort. The CAC agencies offer a variety of cohorts to meet individuals' needs: in-person as well as online asynchronous and synchronous options. Additional funding is offered to child care providers for higher education opportunities through the EarlyEdU online college course program, UAEYC's TEACH scholarship program and reimbursement scholarships through the Utah Registry for Professional Development. TEACH scholarship recipients may select which degree program at our state institutions of higher education will best meet their needs. Rubrics used to determine acceptance into the TEACH and EarlyEDU programs aim to prioritize underrepresented populations and those that serve a higher percentage of children whose families receive child care subsidies to improve quality and diversity in the workforce in the most needed areas. All of these opportunities promote and improve quality and make the cost of furthering education in the field more affordable to increase diversity and ultimately affect stability and retention within the workforce.

The Lead Agency's Career Ladder System promotes tracking professional development and a career pathway for early childhood educators to increase their education and advance through different roles within the field to promote improvement in quality, stability and retention in the workforce. 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 particular topic, such as Guidance and Emotional Wellness, Special Needs or School Readiness to improve quality in specialized areas. Professional Development Incentives (PDIs) are available to eligible professionals working in licensed child care programs. Eligible professionals 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 educators and caregivers 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 in order to improve both quality and retention.

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 Training and professional development descriptions

Describe how the state/territory incorporates into training and professional development opportunities:

- 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 mental health intervention models for young children, which can include positive behavior intervention and support models that reduce the likelihood of suspension and expulsion of children (as described in Section 2 of the Pre-Print) (98.44(b)).

All Career Ladder courses offered by Care About Childcare agencies include a selection of topics from Utah’s Early Learning Guidelines: Birth to Three and the Utah Core State Standards for Early Learning for Ages 3 to 5; 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. The Utah Core State Standards for Early Learning for Ages 3 to 5 informed the development of the School Readiness curriculum. These courses are being revised to align with changes made to this document in 2020; 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 is included in the Working Together course that covers topics about partnering with families.

6.2.2 Accessibility of professional development for tribes and tribal organizations

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.

6.2.3 Accessibility for providers with limited English proficiency and disabilities

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 in the subsidy system:

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, the Lead Agency's website provides a translation feature and some resources are translated into 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. As courses are being revised by the Lead Agency, all newly updated course curricula and materials are being translated into Spanish so that the CACs are able to expand their course offerings taught fully in Spanish.

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 also have the option to take our CAC courses that are offered in a live, virtual format. The Lead Agency also universally accepts CEUs in the field and approves other online entities that offer training in various formats. The list of approved online Career Ladder courses is updated routinely to ensure a wide variety of classes are available.

6.2.4 Training and professional development requirements for CCDF providers

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 as defined in Section 4 of the Indian Self-Determination and Education Assistance Act (including Alaska Natives) and Native Hawaiians (98.44(b)(2)(iv)).

The professional development system provides extensive training to target age-specific developmental needs. 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). 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.

Additionally, there are Special Needs Endorsement courses offered to provide in-depth information to providers to serve children with special needs effectively. The courses cover topics such as inclusion, recognizing strengths, developmental assessments, family partnerships, community resources, accessibility, proactive teaching, individualization and positive guidance. These courses are currently being revised and updated by the Lead Agency alongside a subject matter expert who has extensive education and experience in this area.

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 Working Together course about family partnerships includes a section about unconscious bias. The Lead Agency curated a list of approved courses that specifically address training topics related to racial equity, diversity and implicit bias that is shared with providers. There is some information regarding working with children who are English language learners (ELL) and parents who are learning English as well. The School Readiness Endorsement courses have recently been revised and address strategies for working with ELL children as well.

The curricula taught by our partnering agencies do not contain information specific to working with Native Americans, 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. 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 State Standards for Early Learning. Through approved online professional development, caregivers can take courses to expand their knowledge of working with ELL and Native Americans.

6.2.5 Training and technical assistance to identify families experiencing homelessness

The Lead Agency must provide training and technical assistance (TA) to providers and appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (658E(c)(3)(B)(i)).

a. Describe the state/territory's training and TA efforts for providers in identifying and serving children and their families experiencing homelessness (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.

The Lead Agency has approved a 4-hour, online training offered through the Head Start Early Learning and Knowledge Center entitled Supporting Children and Families Experiencing Homelessness that covers learning how to identify families experiencing homelessness, conducting community outreach and other relevant topic areas.

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 3.3.6).

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 families to these services.

6.2.6 Strategies to strengthen business practices

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 providers' business practices, which can include training and/or TA efforts.

- a. Describe the strategies that the state/territory is developing and implementing for strengthening child care providers' business practices.

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 (NAC). This is a 40-hour course specific to effective program management offered through the National Early Childhood Program Accreditation organization. If an owner, licensee, director or business administrator within a program chooses to take the NAC course to work toward the NAC credential, a full scholarship is available for reimbursement of the payment of the fees. Providers in other roles interested in the NAC coursework have a partial \$150 scholarship available for reimbursement 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.

The Lead Agency offers a business management course through the CAC agencies that was developed by the National Center on Early Childhood Quality Assurance (NCECQA), which includes sessions on fiscal management, staff recruitment and retention and marketing.

In addition, the Lead Agency has approved multiple online entities that provide professional development training related to child care business practices that providers may choose to sign up for and participate in on their own.

A partnership with the Salt Lake Community College provides customized business and finance training offered in an online, synchronous format as well as one-on-one coaching and advising for center-based and home-based child care providers statewide.

b. Check the topics addressed in the state/territory's strategies for strengthening child care providers' business practices. Check all that apply.

i. Fiscal management

ii. Budgeting

- iii. Recordkeeping
- iv. Hiring, developing, and retaining qualified staff
- v. Risk management
- vi. Community relationships
- vii. Marketing and public relations
- viii. Parent-provider communications, including who delivers the training, education, and/or technical assistance
- ix. Other. Describe:

N/A

6.3 Supporting Training and Professional Development of the Child Care Workforce with CCDF Quality Funds

Lead Agencies can invest CCDF quality funds 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 of the CCDF Rule, and those included in the activities to improve the quality of child care also addressed in Section 7 (98.53(a)(1)).

6.3.1 Training and professional development of the child care workforce.

a. In the table below, describe which content is included in training and professional development activities and how an entity is funded to address this topic. Then identify which types of providers are included in these activities. Check all that apply.

- i. 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 (98.53 (a)(1)(i)(A)). Describe the content and funding:

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. 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. These course offerings are funded through CCDF.

Nutrition and physical activity is the focus of a specialized training called TOP Star (Teaching Obesity Prevention in Childcare Settings). This curriculum was developed by the Utah Department of Health and is offered to child care providers online and in person through local health departments across the state. The training is part of an endorsement that can be earned by child care programs. This program is

funded by the Center for Disease Control and Prevention.

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.

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

ii. Implementing behavior management strategies, including positive behavior interventions and support models that promote positive social-emotional development and the mental health of young children 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 2.4.5.) (98.53(a)(1)(iii)). Describe the content and funding:

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 affect 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 newly revised basic level course, Learning to Get Along focuses on emotional and social development, tools for preventing problems and utilizing conflict resolution skills. The basic level course, 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, the Lead Agency created a more advanced, specialized endorsement, Guidance and Emotional Wellness (GEW), which consists of a set of four 10-hour courses. 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. These services are currently being expanded so that they are available to programs statewide. The Lead Agency utilizes CCDF for these services.

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

iii. 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. (98.53(a)(1)(iv)). Describe the content and funding:

Courses focusing on parent engagement and supporting families in culturally and linguistically appropriate ways are available to caregivers statewide through the CAC network. At the 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 the 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. This training and professional development is provided by all CAC agencies through CCDF funds.

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

iv. 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 (98.15 (a)(9)). Describe the content and funding:

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, the Utah State Core Standards for Early Learning for Ages 3 to 5 acknowledges developmentally appropriate practices informed by theory and literature. The School Readiness, Courses 1 through 4 (40 hours) are based on Core State Standards for Early Learning. 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 subject areas and domains.

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 Working Together course also includes a section about unconscious bias. Funding for all of these courses taught through the CAC agencies is through CCDF.

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

v. 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 the content and funding:

Working Together, which is a basic level course taught by CAC agencies statewide, includes a section in which the instructor of the course guides providers to the resources included on (<https://jobs.utah.gov/occ>) <https://jobs.utah.gov/occ>. These resources include information on 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.

There is a section within this course 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. This course is funded through CCDF.

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

vi. Using data to guide program evaluation to ensure continuous improvement 98.53(a)(1)(ii).

Describe the content and funding:

N/A

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

vii. Caring for children of families in geographic areas with significant concentrations of poverty and unemployment. Describe the content and funding:

N/A

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

viii. Caring for and supporting the development of children with disabilities and developmental delays 98.53 (a)(1)(i)(B). Describe the content and funding:

The Career Ladder has multiple curriculums with information regarding children with special needs and including them in programs. There are sections in basic level classes that give information on the American Disabilities Act, individualization, Individualized 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, Individualized 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. This course offering is funded through CCDF.

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

ix. Supporting the positive development of school-age children (98.53(a)(1)(iii)). Describe the content and funding:

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. An additional 10-hour school age course focuses on positive teacher and youth interactions. CCDF is used to fund this professional development.

Additionally, workshops and trainings focusing on the school-age population are provided by the Utah Afterschool Network a minimum of five times annually. A combination of CCDF and TANF funds are used to fund these trainings.

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

x. Other. Describe:

N/A

Which type of providers are included in these training and professional development activities?

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

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 and then identify which providers are eligible for this activity. Check all that apply.

What content is included under each of these training topics and what type of funds are used for this activity?

i. Coaches, mentors, consultants, or other specialists available to support access to post- secondary training, including financial aid and academic counseling.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

ii. Statewide or territory-wide, coordinated, and easily accessible clearinghouse (i.e., an online calendar, a listing of opportunities) of relevant post-secondary education opportunities.

iii. Financial awards such as scholarships, grants, loans, or reimbursement for expenses and/or training, from the state/territory to complete post-secondary education.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

iv. 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 EarlyEdU 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 approved by Southern Utah University to teach the course. 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 transferable as SUU credit to other institutions of higher education statewide. Depending on the receiving institution, the credits transfer as major or elective credits. The courses are open to participants who do not work in a licensed center or family child care program for a small additional tuition fee of \$100 per course.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

6.3.2 Measurable indicators of progress

Describe the measurable indicators of progress relevant to subsection 6.3 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; (6) percentage and number of providers who attain degrees by completion of post-secondary Career Ladder levels; and (7) percentage and number of providers who attain Career Ladder 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.

In addition, the Lead Agency collects course evaluations from participants that attend courses at Care About Childcare courses to inform changes to curriculum and instructor effectiveness. The Lead Agency is planning to pilot a pre- and post-test system with some of the newly revised courses taught in CAC agencies in order to better assess prior knowledge, growth in the understanding of the topics covered and the effectiveness of the curriculum and the instructor.

6.4 Early Learning and Developmental Guidelines

6.4.1 Implementation of early learning and developmental guidelines

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.

a. Describe how the state/territory's early learning and developmental guidelines address the following requirements:

i. Are research-based.

The 2020 version of the Utah Core State Standards for Early Learning for Ages 3 to 5 were written and reviewed by statewide early childhood experts and includes two pages of references regarding research and best practices. Each domain includes an introduction highlighting relevant research for the specific content area. Utah's Early Learning Guidelines: Birth to Age Three were adopted from Minnesota's Early Childhood Indicators of Progress, which were sourced from the research-based National Infant and Toddler Child Care Initiative.

ii. Developmentally appropriate.

The Utah State Core State Standards for Early Learning for Ages 3 to 5 were written and reviewed by statewide early childhood experts, including teachers working with students directly in classrooms, higher education faculty and experts from public, private and Head Start settings. The committee referenced recent research-based resources to ensure revisions to standards were developmentally appropriate. Content areas and domains are the same for each age group, but the standards are different for 3 year olds and 4 year olds to ensure that objectives were uniquely appropriate to each learning level. Utah's Early Learning Guidelines: Birth to Age Three were sourced from the National Infant and Toddler Child Care Initiative. The guidelines include the same domains and components for all children birth to age 3, but each individual indicator, or standard, is divided into three age groups: young infants (birth to 8 months), older infants (8 months to 18 months) and toddlers (18 months to 36 months). The guidelines include examples and suggested strategies for each age group to ensure appropriate interpretation of the indicators for each developmental stage.

iii. Culturally and linguistically appropriate.

The Utah State Core Standards for Early Learning incorporate guiding principles and state that early childhood programs should include all children in their programs regardless of ability, culture, language or background. There is an emphasis on creating opportunities to discover and honor each person's unique characteristics, experience and knowledge and to teach children to value each individual regardless of similarities or differences. The social studies content includes standards on culture and diversity, and the fine arts domain also includes exploring folk songs, singing games and art from various cultures. The document suggests that educators can support lifelong learning practices when they make an effort to understand children's background and culture.

inform the use of the resource. One of the principle emphasizes that infants and toddlers develop in the context of their families, cultures and communities and makes it clear that early care and education settings must respect and support family influences.

- iv. Aligned with kindergarten entry.

When the Utah Core State Standards for Early Learning for Ages 3 to 5 were being revised in 2020, the Utah Kindergarten Core State Standards were utilized as a reference to ensure vertical alignment and continuity across age levels and development. In addition, the Pre-Kindergarten Entry and Exit Profile (PEEP) assessment was developed to align with the standards and measure and assess kindergarten readiness alongside its companion assessment, the Kindergarten Entry and Exit Profile (KEEP).

- v. 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 Core State Standards for Early Learning begin at age three and move through the end of pre-kindergarten. Skills are vertically aligned and divided into standards for 3 year olds and 4 year olds. The Core State 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. The guiding principles in the document include a statement about how children learn in diverse ways and educators should use data and observations to inform and guide their instruction and make accommodations or adaptations for each unique child.

- vi. 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 State Standards are disseminated statewide across systems and many child care program types. The Lead Agency and the Utah State Board of Education have collaborated to develop professional development and training around the implementation of the new Utah Core State Standards for Early Learning to ensure alignment across early childhood settings. The Lead Agency distributes copies of both documents to providers and most of the courses taught at Care About Childcare (CAC) agencies use the Early Learning Guidelines and Core Standards to guide the development of the course content. The Lead Agency is on the agenda for the State Advisory Council and is able to report and discuss implementation of the Early Learning Guidelines and Core State Standards as needed.

- b. Describe how the required domains are included in the state/territory's early learning and developmental guidelines. Responses for "other" are optional.

- i. Cognition, including language arts and mathematics.

Utah's Early Learning Guidelines: Birth to Age 3: contain a domain on cognitive development,

which includes the topic areas of exploration and discovery, imitation and symbolic play, memory and problem solving. The guidelines also include a domain on language development and communication with components on listening, understanding, communicating, speaking and emergent literacy.

The Utah Core State Standards for Early Learning for Ages 3 to 5 include the domains of English language arts, mathematics and lifelong learning practices. The English language arts content area includes standards on speaking and listening, pre-reading skills (concepts of print, phonological awareness, word recognition, recall, comprehension) and writing. The mathematics content area includes strands on counting and cardinality, operations and algebraic thinking, measurement and data and geometry. The lifelong learning practices domain includes standards in the areas of self-regulation and executive functioning, learning engagement (initiative and persistence) and creativity and curiosity that relate to cognition.

ii. Social development.

Utah's Early Learning Guidelines: Birth to Age 3 includes a domain on social and emotional development. Within this domain, there are indicators that cover developing trust, connections and building relationships with adults and other children, while also being cautious around unfamiliar adults and seeking ways to find comfort in new situations.

The Utah Core State Standards for Early Learning for Ages 3 to 5 include the domains of social studies and lifelong learning practices, which both incorporate social development standards. The social studies domain includes standards on culture and diversity, individual development and identity, working cooperatively with others and participating in a classroom community. The lifelong learning practices domain includes a strand on relationships, which covers communication, social engagement, conflict resolution and problem solving.

iii. Emotional development.

Utah's Early Learning Guidelines: Birth to Age 3 includes a domain on social and emotional development. The components include emotional security, self-awareness and self-regulation and cover topics such as showing emotional connection and attachment to others, expressing feelings and emotions, showing ability to cope with stress, increasing confidence in abilities, showing increasing independence and understanding simple routines, rules and limitations.

The Utah Core State Standards for Early Learning for Ages 3 to 5 include the domains of social studies, health education and lifelong learning practices, which all incorporate emotional development standards. The health education content area includes a strand on mental and emotional health, which includes standards on expressing, identifying and labeling emotions as well as self-control. The lifelong learning practices domain includes standards on self-regulation and executive functioning, learning engagement (initiative and persistence), self-awareness, emotions and relationships.

iv. Physical development.

Utah's Early Learning Guidelines: Birth to Age 3 includes a domain covering physical and motor development that includes components on gross motor development, fine motor development

and physical health and well-being.

The Utah Core State Standards for Early Learning for Ages 3 to 5 include the domains of health and physical education, which both incorporate physical development standards. The health education content area includes strands on human development, health foundations, protective factors of a healthy self and nutrition. The physical education content includes standards on gross and fine motor movement, awareness of space and boundaries and physical activity as a tool for wellness.

- v. Approaches toward learning.

Utah's Early Learning Guidelines: Birth to Age 3 embeds approaches toward learning across the four different domains. Within the social and emotional development domain, there are indicators regarding showing confidence in increasing abilities, learning social skills and self-regulation. In language development and communication, young children are learning how to respond to verbal and nonverbal communication through sounds, gestures, and words and show reciprocity in simple conversations. Within the cognitive development domain, components include topics such as showing interest and curiosity in new people and objects, making things happen and watching for results or repeating actions, problem solving, imitation and symbolic play. The physical and motor development domain includes components on developing self-help skills and understanding safe and unsafe behaviors.

The Utah Core State Standards for Early Learning for Ages 3 to 5 includes the domain of lifelong learning practices. Standards address the topic areas of self-regulation, executive functioning, learning engagement (including initiative and persistence), creativity and curiosity, self-awareness, emotions and relationships (including communication, social engagement, conflict-resolution, and problem solving).

- vi. Describe how other optional domains are included, if any:

The Utah Core State Standards for Early Learning for Ages 3 to 5 also include the domains of fine arts and science. The fine arts content area includes strands on drama, dance, music and visual arts. The science content area includes strands on weather, light, living things, matter and motion.

- c. 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 the Utah Core State Standards for Early Learning 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 State Standards. The Core State 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 the Board committee and the full Board for final adoption. The Utah Core State Standards for Early Learning were first published in 2012; the latest revision occurred in 2020.

Utah's Early Learning Guidelines: Birth to Age 3 were first published in 2007. 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. The Lead Agency is in the preliminary phases of developing a plan and assembling a workgroup to update the Early Learning Guidelines in order to align them with the newly released version of the Utah Core State Standards.

d. If applicable, discuss the state process for the adoption, implementation, and continued improvement of state out-of-school timestandards.

The Lead Agency's partner, the Utah Afterschool Network, has adopted the National Afterschool Association's Core Knowledge and Competencies (NAA CKCs) for Afterschool and Youth Development Professionals. This document is used to guide technical assistance and professional development in afterschool programs. The NAA CKCs were used in the development of a School-Age Demonstrated Competency Credential for school-age providers in child care programs. Providers that earn this credential must complete a certain number of training hours in each of the domains listed in the NAA CKCs as well as a self-assessment covering each of these areas. Additionally, the NAA CKCs are incorporated into the School Age Career Ladder Endorsement courses.

e. Provide the Web link to the state/territory's early learning and developmental guidelines and if available, the school-age guidelines.

Utah's Early Learning Guidelines: Birth to Age Three:
(<https://jobs.utah.gov/occ/urpd/earlychildhood.pdf?>)
<https://jobs.utah.gov/occ/urpd/earlychildhood.pdf>

Utah Core State Standards for Early Learning for Ages 3 to 5:
(<https://jobs.utah.gov/occ/urpd/coreearlylearningstandards.pdf>)
<https://jobs.utah.gov/occ/urpd/coreearlylearningstandards.pdf>

6.4.2 How early learning and guidelines are used

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 the Utah Core State Standards for Early Learning for Ages 3 to 5 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 State Standards are embedded in the curriculum; for example, providers use the information within the guidelines to participate in class activities. The statewide Care About Childcare agencies also distribute information on where to access the Early Learning Guidelines and Core State Standards to providers during resource nights. Both the Early Learning Guidelines and the Core State Standards are used to inform providers about developmental stages and to help providers incorporate best practices for each age group into their programs.

6.4.3 Measurable Indicators for early learning and developmental guidelines

If quality funds are used to develop, maintain, or implement early learning and development guidelines, describe the measurable 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) worked with early childhood experts and stakeholders to release a statewide Pre-kindergarten Entry and Exit Profile (PEEP) assessment. This assessment is given at the beginning of pre-kindergarten and at the end of pre-kindergarten to assess growth and aligns with the Utah State Core Standards for Early Learning for Ages 3 to 5. This assessment is open and available to administer in all types of care settings that serve this age group. USBE has made the database to enter results for this assessment available to all preschool and child care programs and assigns children a statewide student identifier number so that their growth and progress may be tracked across educational settings. Additionally, the PEEP was designed to vertically align with the kindergarten readiness assessment called the Kindergarten Entry and Exit Profile (KEEP). USBE asks 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 PEEP and KEEP data collected by USBE, the Lead Agency will have access to data needed to assess the implementation of the Utah State Core Standards for Early Learning in child care programs.

The statewide database where PEEP and KEEP assessment data is collected and stored became available to child care providers in the spring of 2021 in collaboration with the Utah State Board of Education. As this is a newly-developed tool and just beginning to be implemented, our strategy is to collect baseline data and track progress and growth in the individual content areas over time to help assess quality programming. Within our school readiness grants, the Lead Agency is tracking the number of proficient children from the beginning to the end of the school year and through kindergarten with the KEEP as measurement indicators for evaluating the progress in improving the quality of programs when it comes to school readiness initiatives.

7 Support Continuous Quality Improvement

Lead Agencies are required to 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 CCDF Plan, the ACF 118, states and territories will describe the types of activities supported by quality investments over the 3-year period (658G(b); 98.16(j)).
2. In the annual expenditure report, the ACF-696, ACF will collect data on how much CCDF funding is spent on quality activities. 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 Quality Progress Report, the ACF 218, that will include a description of activities 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 (Addressed in Section 6)
- Improving on the development or implementation of early learning and developmental guidelines (Addressed in Section 6)
- Developing, implementing, or enhancing a tiered quality rating and improvement system or other systems of quality improvement 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, and all categories of care. It is important that while Lead Agencies have the flexibility to define “high quality” and develop strategies and standards to support their definition, Lead Agencies should consider how that definition and those strategies for different provider types reflect and acknowledge their unique differences and how quality varies in different settings, including family child care and small care settings as well as child care centers.

This section covers the quality activities needs assessment, 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 Assessment process and frequency of assessment

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 conducted formal needs assessments in 2016 and 2017. A more recent needs assessment was completed in 2019 that was built upon the previous 2017 document.

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.

The 2019 Utah Preschool Development Grant B-5 Needs Assessment: In December 2018, the DWS/OCC was awarded a federal Preschool Development Grant, Birth through Five (PDG B-5) to analyze Utah’s current early childhood care and education landscape, including its systems and programs. Grants funds provided an opportunity for Utah to begin creating, or further build, high-functioning, coordinated, and aligned birth-through-five early childhood systems to best meet the needs of young children and their families. The report was published in 2019 and contains three primary sections: Section 1: Utah’s Children, Birth through Age Five, Section 2: Utah’s Birth-through-Five System, and Section 3: Programmatic Elements in Utah’s System. The analysis included Utah’s child care system.

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.

7.1.2 Assessment findings and identified quality improvement goals

Describe the findings of the assessment and if any overarching goals for quality improvement were identified. If applicable, include a direct URL/website link for any available evaluation or research related to the findings.

The Parental Child Care Survey of 2016 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.

One key takeaway of the 2019 PDG-B-5 is that well-coordinated and aligned systems include high-quality early care and education programs as part of the larger education continuum that leads into kindergarten. The Child Care Quality System (CCQS), which was developed to align with Utah's Early Childhood Core Standards developed in collaboration with the Utah State Board of Education, will provide parents with clear information as they choose the right program for their families. The report also stated challenges with being able to evaluate the impact of CCQS on children and the community because the CCQS system was not fully implemented at the time the report was written.

The Lead Agency implemented the Child Care Quality System on October 1, 2019 in an effort to ensure more of Utah's children are in high quality programs. Currently, less than 30% of eligible programs are participating. Additionally, of the 97 center based rated programs, only 28, or 28.8 percent are rated as High Quality or High Quality Plus. As CCQS is fully implemented the number of high-quality child care programs operating in the state, as well as the number of young children served by levels of quality, including children representing Utah's target populations will be able to be determined. To address the findings in the 2019 PDG-B-5 Needs Assessment, the Lead Agency will continue to prioritize investments to support programs through the Child Care Quality System.

The IGP Report reveals that education levels of early childhood professionals are low. Gains have been made in this area over the past three years but there is still much work to do. The Lead Agency will continue to make investments in CDA cohorts, Early EdU courses and the T.E.A.C.H. program to work toward closing this gap. Additionally, the IGP report reveals that only 32 percent of children receiving subsidy are cared for in programs participating in the Child Care Quality System. The Lead Agency will work to encourage more eligible providers to

participate in the system.

7.2 Use of Quality Funds

7.2.1 Quality improvement activities

a. Supporting the training and professional development of the child care workforce as discussed in 6.2 (Related Section: 6.3). Check all that apply.

i. CCDF funds

ii. State general funds

Other funds: describe

N/A

b. Developing, maintaining, or implementing early learning and developmental guidelines (Related Section: 6.4). Check all that apply.

i. CCDF funds

ii. State general funds

Other funds: describe

N/A

c. Developing, implementing, or enhancing a tiered quality rating and improvement system (Related Section: 7.3). Check all that apply.

i. CCDF funds

ii. State general funds

Other funds: describe

N/A

d. Improving the supply and quality of child care services for infants and toddlers (Related Section: 7.4). Check all that apply.

i. CCDF funds

ii. State general funds

Other funds: describe

N/A

e. Establishing or expanding a statewide system of CCR&R services, as discussed in 1.7 (Related Section: 7.5). Check all that apply.

i. CCDF funds

ii. State general funds

Other funds: describe

N/A

f. Facilitating Compliance with State Standards (Related Section: 7.6). Check all that apply.

i. CCDF funds

ii. State general funds

Other funds: describe

CRRSA Act funds

g. Evaluating and assessing the quality and effectiveness of child care services within the state/territory (Related Section: 7.7). Check all that apply.

i. CCDF funds

ii. State general funds

Other funds: describe

N/A

h. Accreditation Support (Related Section: 7.8). Check all that apply.

i. CCDF funds

ii. State general funds

Other funds: describe

CRRSA Act funds

i. Supporting state/territory or local efforts to develop high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development (Related Section: 7.9). Check all that apply.

i. CCDF funds

ii. State general funds

Other funds: describe

No funding is used.

j. 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 (Related Section: 7.10). Check all that apply

i. CCDF funds

ii. State general funds

Other funds: describe

N/A

7.3 Quality Rating and Improvement System (QRIS) or Another System of Quality Improvement

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

7.3.1 QRIS or another system of quality improvement

Does your state/territory have a quality rating and improvement system or another system of quality improvement?

a. No, the state/territory has no plans for QRIS development. If no, skip to 7.4.1.

b. No, but the state/territory is in the QRIS development phase. If no, skip to 7.4.1.

c. 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 CCR&R's called Care About Childcare agencies administers CCQS statewide. Beginning August 1, 2022 the first family child care programs received a certified quality rating with all ratings available throughout the state.

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>) <https://jobs.utah.gov/occ/provider/quality.html>. CCQS policy can be found at (<https://jobs.utah.gov/infosource/occqs/index.htm#>) <https://jobs.utah.gov/infosource/occqs/index.htm#>.

d. 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.

?

e. Yes, the state/territory has another system of quality improvement. Describe the other system of quality improvement and provide a link, if available.

7.3.2 QRIS or another system of quality improvement participation

Indicate how providers participate in the state or territory's QRIS or another system of quality improvement.

a. Are providers required to participate in the QRIS or another system of quality improvement? Check all that apply if response differs for different categories of care.

i. Participation is voluntary.

ii. Participation is partially mandatory. For example, participation is mandatory for providers serving children receiving a subsidy, participation is mandatory for all licensed providers or participation is mandatory for programs serving children birth to age 5 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 family and center-based programs serving children receiving subsidy or accepting any other CCDF funding in the form of grants or other awards. Participation for center-based programs 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.

The CCQS system issued the first Certified Quality Ratings to licensed family child care providers with the benefit of the entire range of ratings on August 1, 2022. Participation for licensed family based programs includes receiving a certified quality rating for one of four ratings: Foundation of Quality, Building Quality, High Quality and High Quality Plus. Family-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.

iii. 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 or another system of quality improvement? Check all that apply.

i. Licensed child care centers

ii. Licensed family child care homes

iii. License-exempt providers

iv. Early Head Start programs

v. Head Start programs

vi. State Prekindergarten or preschool programs

vii. Local district-supported Prekindergarten programs

viii. Programs serving infants and toddlers

ix. Programs serving school-age children

- x. Faith-based settings
- xi. Tribally operated programs
- xiv. Other. Describe:

c. Describe how the Lead Agency’s QRIS, or other system for improving quality, considers how quality may look different in the different types of provider settings which participate in the QRIS or other system of quality improvement. For instance, does the system of quality improvement consider what quality looks like in a family child care home with mixed-age groups vs. child care centers with separate age groups? Or are standards related to quality environments flexible enough to define quality in home-based environments, as well as child care center environments?

Licensed centers and licensed family child care programs each have a CCQS framework that is specific to the type of care provided. While the components are the same, each is adapted to the type of care offered. For example, the observation tools used in center-based programs are the ITERS, ECERS and SAPQA. For the family child care programs, the FCCERS tool is used.

7.3.3 Identify how the state or territory supports and assesses 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 or another system of quality improvement. 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).

Do the state/territory’s quality improvement standards align with or have reciprocity with any of the following standards?

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.

a. 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).

b. 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).

c. 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).

d. Programs that meet all or part of state/territory school-age quality standards.

e. Other. Describe:

7.3.4 Link between quality standards and licensing requirements

Do the state/territory’s quality standards build on its licensing requirements and other regulatory requirements?

No

Yes. If yes, check any links between the state/territory’s quality standards and licensing requirements.

a. Requires that a provider meet basic licensing requirements to qualify for the base level of the QRIS.

b. Embeds licensing into the QRIS.

c. State/territory license is a “rated” license.

d. Other. Describe:

N/A

7.3.5 Financial or other incentives through QRIS or another quality improvement system

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 or another system of quality improvement.

No

Yes. If yes, check all that apply.

a. If yes, indicate in the table below which categories of care receive this support.

Financial incentive or other supports	Licensed center-based	License exempt center-based	Licensed family child care home	License-exempt family child care home	In-home (care in the child’s own home)
i. One-time grants, awards, or bonuses	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ii. Ongoing or periodic quality stipends	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iii. Higher subsidy payments	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iv. Training or technical assistance related to QRIS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Financial incentive or other supports	Licensed center-based	License exempt center-based	Licensed family child care home	License-exempt family child care home	In-home (care in the child's own home)
v. Coaching/mentoring	[x]	[]	[x]	[]	[]
vi. Scholarships, bonuses, or increased compensation for degrees/certificates	[]	[]	[]	[]	[]
vii. Materials and supplies	[]	[]	[]	[]	[]
viii. Priority access for other grants or programs	[x]	[]	[x]	[]	[]
ix. Tax credits for providers	[]	[]	[]	[]	[]
x. Tax credits for parents	[]	[]	[]	[]	[]
xi. Payment of fees (e.g., licensing, accreditation)	[x]	[]	[x]	[]	[]

b. Other:

N/A

7.3.6 Measurable indicators of progress relevant to Subsection 7.3

Describe the measurable indicators of progress relevant to subsection 7.3 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) Improvements from baseline observation scores conducted for a Child Care Quality System (CCQS) certified quality rating compared to scores after program participation in intensive coaching, professional development and other technical assistance;

(2) Increase in percentage of programs that are awarded more points in Education of Director component of CCQS

at recertification;

(3) Increase in percentage of staff participation in career ladder measured by points awarded at recertification for a CCQS certified quality rating; and

(4) Increased overall points in CCQS framework at recertification.

Due to the pandemic, CCQS was paused. Data will be gathered as programs re-certify to assess the effectiveness of the indicators of quality and support offered to programs.

7.4 Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers

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.

Lead Agencies are encouraged to use the required 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.

7.4.1 Activities to improve supply and quality of infant and toddler care

Identify and describe the activities that 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 and check which of the activities are available to each provider type.

a. 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.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

b. Establishing or expanding the operation of community-based, neighborhood-based, or provider networks comprised of home-based providers, or small centers focused on expanding the supply of infant and toddler care.

The Lead Agency funds at least one position in each CAC Agency to provide a Family Child Care Specialist to provide support specifically to family child care providers. Each Specialist works with a cohort of family child care providers for a nine month period and facilitates a Peer Learning Community. Training modules are assigned, with particular focus on working with mixed age groups, considering the unique needs of infants and toddlers to ensure their needs are also met. Providers receive support through training and reflection in Peer Learning Communities, observation and feedback, and technical assistance and coaching in their home environment. Each cycle all providers in the area are given the opportunity to apply and providers that have not had the opportunity to participate are prioritized. If there is still space available, providers that have participated previously may join the cohort.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

c. Providing training and professional development to enhance child care providers' ability to provide developmentally appropriate services for infants and toddlers.

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.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

d. 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.

The Lead Agency provides support to caregivers working in infant and toddler rooms in center based programs 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. A new program was launched during the COVID pandemic to allow services to be provided virtually through an online platform called LearnERS. This program includes a number of modules specific to the provision of infant/toddler care. Providers participate in Peer Learning Community (PLC) meetings to discuss the content of assigned modules. The coach working with each individual program provides support to help providers self-reflect on content, create meaningful SMART goals. The coach checks in with each individual prior to the second PLC meeting. Providers show evidence of progress made on their goal and successes are celebrated. This model will be used in the future in our CCQS support model, but onsite visits and mini observations will be services

included at that time. Programs receive funds at the end of the project to help pay staff for time spent completing modules and meeting with their coaches. 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. LearnERS modules are utilized and online learning is completed individually. The FCC Specialist facilitates peer learning community meetings virtually to help the providers self-reflect, evaluate practices, learn from one another and consider how to meet the needs of their youngest children. Coaches visit family child care homes to check in with providers and provide support to ensure infants and toddlers are receiving the specialized care they need in a mixed age group setting. Technical assistance observations are provided utilizing the FCCERS tool. SMART quality improvement goals are created with the FCC Specialist and a variety of technical assistance and coaching strategies are utilized to help FCC providers increase the quality of care to infants and toddlers.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

e. 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.).

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

f. Developing infant and toddler components within the state/territory's QRIS, including classroom inventories and assessments.

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. FCC providers also have access to inventories and self-assessments that contain infant/toddler components.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

g. Developing infant and toddler components within the state/territory's child care licensing regulations.

Currently, there are 22 licensing rules specific to infant and toddler care.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

[x] h. Developing infant and toddler components within the early learning and developmental guidelines.

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, including infant and toddler specialists, also provide technical assistance on how to use the guidelines.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

[x] i. 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.

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. Utah's Early Learning Guidelines are available on the website to parents. Copies of the guidelines and additional information regarding infant and toddler development and how to search for quality child for infants and toddlers are also distributed by the CAC agencies during events such as Week of the Young Child or other family related events where parents are frequently attending.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

[x] j. 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.

The Lead Agency contracts with The Children's Center to provide Infant/Toddler Mental Health Consultation services to child care programs. 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. This service has been expanded to other regions during FY 2021 and will be provided statewide by FY 2023.

- Licensed center-based
- License exempt center-based

- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

k. Coordinating with child care health consultants.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

l. Coordinating with mental health consultants.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

m. Establishing systems to collect real time data on available (vacant) slots in ECE settings, by age of child, quality level, and location of program.

The Care About Childcare application and website is available to providers 24 hours a day and seven days a week. Consequently, programs are able to update their vacancies in real time.

Reports pulled from the CAC application can include data on vacancies as of the date and time of the report by the program license type, quality level and/or location.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

n. Other.

- Licensed center-based
- License exempt center-based
- Licensed family child care home
- License-exempt family child care home
- In-home care (care in the child's own home)

Describe the measurable indicators of progress relevant to subsection 7.4 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 receiving observations utilizing the Infant Toddler Environmental Rating 3 Edition (ITERS-3) or the Family Child Care Environment Rating Scale (FCCERS-3);

(2) Among programs receiving observations utilizing the ITERS-3, or FCCERS -3. the number and percentage improving on ITERS-3 or FCCERS-3 scores;

(3) Number and percent of programs receiving technical assistance from the Lead Agency's, Infant/Toddler or Family Child Care Specialists

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

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

7.5 Child Care Resource and Referral

A Lead Agency may expend funds to establish, expand, or maintain 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.

7.5.1 Child care resource and referral agencies' services

What are the services provided by the local or regional child care and resource and referral agencies?

The Lead Agency's statewide network of Child Care Resource and Referral agencies, Care About Childcare (CAC), enable the Office of Child Care to 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, cost, 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, programs' certified quality ratings in the Child Care Quality System are posted in the CAC website parent search. Parents are able to search by the certified quality rating in the Child Care Quality System. 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 cared for and care during non-traditional hours.

The CAC agencies also provide consumer education materials in person, on the phone or through email correspondence. Materials sensitive to levels of literacy and English language learners are available and disseminated to consumers to help them make an informed decision. 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, to address issues for parents concerned about their child's development or to help them find resources for children with disabilities, the CAC agencies provide contact information for 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).

Additionally, the CAC agencies are required to administer grant programs to assist providers. Specifically, the agencies support providers in participating in the Lead Agency's Child Care Quality System. 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 also either offer free fingerprinting services to providers or a grant to offset the costs of fingerprinting. 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. A professional development advisor provides one on one assistance to caregivers upon request to assist them in preparing to receive a CDA, apply for college courses or help them determine which courses they should take to achieve a level on the Utah Career Ladder.

Lastly, the CAC agencies house personnel that assist in the implementation of the Child Care Quality System. (CCQS) Staff in their agencies are reliable on the ERS tools and perform observations for the CCQS system as well as feedback to programs. Other staff also provide technical assistance and coaching services to center and family based programs to support them in achieving higher levels of quality within the CCQS system.

7.5.2 Measurable indicators of progress relevant to Subsection 7.5

Describe the measurable indicators of progress relevant to subsection 7.5 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 and percentage of change from previous year;
- (2) Number of caregivers receiving support that earned a CDA credential and percentage of change from previous year;
- (3) Number of providers receiving coaching and technical assistance through any coaching program (i.e. Family Child Care Specialists, CDA Coaches, Early Childhood Specialists, CCQS Specialists or General TA) and percentage of change from previous year;
- (4) Number of family child care providers that receive Start Up Grants and percentage of change from previous year; and
- (5) Number of new programs receiving technical assistance in regards to the Child Care Quality System.

Data will be used to assess the effectiveness of the support offered to programs and caregivers. Changes will be implemented if needed.

7.6 Facilitating Compliance with State Standards

7.6.1 Activities to facilitate provider compliance with health and safety requirements

What activities does your state/territory fund with CCDF quality funds to facilitate child care providers' compliance with state/territory health and safety requirements? These requirements may be related to inspections, monitoring, training, compliance with health and safety standards, and with state/territory licensing standards as outlined in Section 5.

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;

Additionally, the Lead Agency partners provide some training and technical assistance that address state standards in child care.

These include the following:

- (1) CCL Licensing Training for all providers; and
- (2) Technical assistance to address standards when providers contact the Care About Childcare agencies.

In addition, all licensing and renewal, registration, and certification fees have been subsidized using CRRSA Act funding. This includes all costs related to the background checks. No penalty costs are included as part of this assistance.

7.6.2 Financial assistance to support complying with minimum health and safety requirements

Does the state/territory provide financial assistance to support child care providers in complying with minimum health and safety requirements?

No

Yes. If yes, which types of providers can access this financial assistance?

- a. Licensed CCDF providers
- b. Licensed non-CCDF providers
- c. License-exempt CCDF providers
- d. Other. Describe:

The Lead Agency has purchased and placed fingerprinting machines in three 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 other three CAC agencies, 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.

Lastly, the Lead Agency provides support to Family Friend and Neighbor providers by reimbursing them for the cost of CPR and First Aid training after they have completed it.

7.6.3 Measurable indicators of progress relevant to Subsection 7.6

Describe the measurable indicators of progress relevant to subsection 7.6 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 measurable indicators of progress are as follows:

- 1. Number of new family providers that become licensed each year. Using the system maintained by CCL, we track the number of applicants and the number of those applicants who complete the application process and become licensed every year. The data collected is used for several purposes including caseload distributions, availability of child care services in the different state areas, and to determine effectiveness in facilitating how applicants become licensed. It also helps us in determining if any other assistance and involvement from other partner agencies are needed.**
- 2. Number of TA visits from licensors to ensure programs comply with licensing standards. CCL maintains and produces a report on the most common rule violations that is used to determine the types of individual and collective TA needed to increase compliance. Licensors provide targeted and on-demand TA and log those into the CCL system for data collection purposes. This report is also evaluated during monthly licensor training in order to look for ways to support compliance with licensing rules.**
- 3. Number of announced, unannounced and monitoring visits completed each year by Utah licensors. Using the CCL system, we can produce reports on any inspections conducted by licensor. This report serves different purposes including licensor performance, caseload management, and verification of inspections completed for individual facilities.**
- 4. Number of licensing visits triggered by a complaint. The CCL system also produces inspection reports by inspection types; complaint investigation is one of them. These reports can be accessible by date, by provider, or by rule type. This information is also used by licensing to determine what rules need to be addressed in using TA and during evaluation of internal policies, including the rulemaking process.**
- 5. Number and suspensions or revocations of licenses each year. Suspensions and revocations of licenses are also tracked by the CCL system and are available by date and facility type. This information is used to determine compliance with enforcement, and to help us evaluate possible reasons for adjustments in our policies and rules. This information also helps in determining if our rules are protecting the children or not and if we need assistance from other partner agencies to better improve quality of care.**
- 6. Among refugee child care providers receiving supportive services, the number and percent becoming FFN or licensed providers and percentage of change from previous year. Data will be used to determine the effectiveness of the support and guide needed improvements;**
- 7. Number of providers participating in the Child Care Licensing training. We track this information to evaluate effectiveness of our training and to help providers comply with the required reporting of training hours and topics.**

7.7 Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services

7.7.1 Measures of quality and effectiveness of child care programs

Does the state/territory measure the quality and effectiveness of child care programs and services in both child care centers and family child care homes?

No

Yes. If yes, describe 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 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 surveys of program participants, teachers, parents, and afterschool leadership to evaluate the effectiveness of the program, as well as regular check-ins with grantees to ensure support of building capacity knowledge through grant interpretation and execution.

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. The School Age Program Quality Assessment (SAPQA) is utilized to measure quality in school age rooms in private centers within the CCQS system.

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.

7.7.2 Measurable indicators of progress relevant to Subsection 7.7

Describe the measurable indicators of progress relevant to subsection 7.7 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 as well as the ongoing needs identified by individual grant recipients. This includes delivery of annual evaluation reports each year of the program. The main objective of the evaluations is to determine programs effectiveness in implementing quality afterschool programming as determined by the grant performance requirements. Measures utilized in the evaluation projects include an afterschool program staff and student survey developed by UEPC, comparison of longitudinal program quality through assessment of the School Age Program Quality Assessment, anecdotal comparisons of the Utah Afterschool Network Quality Tool Improvement Plans, afterschool program participation data, creation and participation in peer learning communities, as well as final program evaluations to show growth of quality throughout the grant timeline. Quality is then assessed through qualitative and quantitative means outlined in annual reports and, in March of 2022, a final overall report.

The measurements relevant for the CCQS are the assessment scores on both the ITERS-3, and ECERS-3 and SAPQA 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 Program Quality Assessment tool 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-funded programs and is administered by the Lead Agency and its contracted designees who are trained and reliable in the tool. The results of the SAPQA observation are used to inform technical assistance with UAN Out-of School Time (OST) Specialists and identify quality areas of improvement for the program to address over the contract year. Additionally, the PQA observation scores will allow the Lead Agency to gather quality data that will later provide an opportunity to establish benchmarks for quality grants.

7.8 Accreditation Support

7.8.1 Pursuit of Accreditation

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?

[x] a. 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. Is accreditation available for programs serving infants, toddlers, preschoolers and school-age children?

An accreditation reimbursement scholarship is available for licensed family and center child care providers through our federal Covid-19 relief funding. This will cover most, or in many cases all, of the costs and fees associated with receiving the national accreditations that are approved as a component of the Child Care Quality System, Utah’s Quality Rating and Improvement System. Approved accreditation organizations must be nationally recognized, independent, third-party and not-for-profit. Accreditations must incorporate evidence-based practices demonstrating positive outcomes for children, require onsite review of criteria to ensure implementation, and incorporate an ongoing renewal process which is no longer than five years.

b. 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:

c. 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:

d. Yes, the state/territory has supports operating as a pilot-test or in a few localities but not statewide or territory-wide.

i. Focused on child care centers. Describe:

ii. Focused on family child care homes. Describe:

e. No, but the state/territory is in the in the development phase of supporting accreditation.

i. Focused on child care centers. Describe:

ii. Focused on family child care homes. Describe:

f. No, the state/territory has no plans for supporting accreditation.

7.8.2 Measurable indicators of progress relevant to Subsection 7.8

Describe the measurable indicators of progress relevant to subsection 7.8 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 measure the number of programs that are accredited, the number of programs

that were awarded an accreditation scholarship and the percentage of change from the previous year.

Measurement data will be used to assess the effectiveness of the support offered and guide any needed adjustments.

7.9 Program Standards

7.9.1 High-Quality program standards

Describe how the state/territory supports state/territory or local efforts to develop or adopt high-quality program standards, including standards for:

a. Infants and toddlers

N/A

b. Preschoolers

N/A

c. and/or School-age children.

N/A

7.9.2 Measurable indicators of progress relevant to Subsection 7.9

Describe the measurable indicators of progress relevant to subsection 7.9 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

7.10 Other Quality Improvement Activities

7.10.1 Other quality improvement activities and measurable indicators of progress

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 measurable 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 and afterschool.

For afterschool programs, the Lead Agency has grant opportunities centered on the Results-Based Accountability framework. This framework allows the Lead Agency to assess the quality of programs through three questions: (1) **How Much** allows programs to demonstrate service to high risk students, (2) **How Well** allows for the review of program data through S.M.A.R.T. goals and program quality assessments, and (3) **Is Anyone Better Off** shows

how programs meet particular outcomes of their grant. The Lead Agency contracts with the Utah Afterschool Network to ensure quality resources are available to all afterschool programs, including those not receiving grant support from the Lead Agency.

Other quality measures are verified through the establishment of safe spaces for school age children, ensuring all programs are following child care licensing safety guidelines. Programs are evaluated annually on quality through internal and external assessments. Internal assessments are self evaluations that measure program safety and connectedness and inform the creation of individualized action plans to improve identified areas of concern. External assessments are conducted using the Program Quality Assessment tool to allow for unbiased evaluation of the program to prove that quality standards enacted through Utah Code are met. External assessments allow the Lead Agency to evaluate the level of quality in afterschool programs from the beginning to end of a program year, and will allow for the establishment of benchmarks in future years to better direct grant funding.

The Lead Agency tracks and follows performance measures for afterschool grantees that includes:

30+ day student attendance;

Free and Reduced Priced Lunch students; and

Completion of outcomes.

The activities in preschool quality improvement and kindergarten preparedness are conducted by the Lead Agency in collaboration with the Utah State Board of Education (USBE) with governance from the Utah School Readiness Board (the Board). The Lead Agency administers the legislatively-directed 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 availability for 3, 4, and 5 year olds who are not eligible for Kindergarten to participate in high quality preschool programs. These two grant opportunities are funded with a mix of state General Funds as well as CCDF.

The Lead Agency tracks the following each year::

(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 eligible children served under each grant opportunity.

These indicators highlight the number of programs statewide seeking to engage in quality building activities to improve their preschool offering. In Utah's mixed-delivery preschool system, limited funding is maximized

through these grants to serve as many eligible students as possible each contract year.

As part of their statutory responsibility, the Board establishes a quality assessment tool and student performance benchmarks each year, which are incorporated into the grant application process. The observation tool must be evidence-based and utilized by trained and reliable observers; the Board determines the quality level that must be met by programs with the quality tool. Quality is central to the grant agreements with expected outcomes and activities centered on best practices, alignment with preschool standards, and the elements of a high quality school readiness program as defined in the School Readiness Code.

All funded school readiness grantees are required to conduct a Preschool Entry and Exit Profile (PEEP) assessment for students in their program. In collaboration with USBE, the Lead Agency has established a target of 20% of children attending programs funded at least in part with School Readiness grants that increase their PEEP assessment score from the beginning (Entry) to end (Exit) of their preschool year.

In addition to the two grant programs, the Lead Agency is responsible for administering the state-funded Pay for Success transaction as part of the School Readiness Initiative, adopted in 2014.

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 (MOUs) within the Lead Agency's various divisions that administer or carry out the various aspects of CCDF
- MOUs, 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 Fiscal management practices

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:

a. Verifying and processing billing records to ensure timely payments to providers.

Describe:

Invoices and supporting documentation are required to be submitted monthly or quarterly, and are processed in the order received. Initial review of all invoices are processed by the Office of Child Care (OCC) no later than 48 hours from the time received to ensure grantees receive payment in a timely manner. Once reviewed by OCC, invoices are forwarded to the department's Finance division for further processing. Invoices are processed in the order they are received and generally payments are issued within 4-6 weeks of invoice receipt. For subsidy, monthly payments are issued prospectively to providers to ensure timely payments are made.

b. Fiscal oversight of grants and contracts. Describe:

The Utah Department of Workforce Services (DWS) is a department within the executive branch of the government of the State of Utah. The State maintains a centralized accounting system that is used by all executive branch departments. The State has also developed statewide accounting policies and procedures and a statewide system of internal controls for areas such as budgeting, purchasing, payments, receivables, revenues, inventory, capital assets, travel, payroll, cash receipts, and cash management. In addition, DWS has developed policies and procedures which either mirror statewide policies or are more restrictive than the statewide policies. All invoices are required to submit full supporting documentation or a general ledger, depending on the risk level of the program. The documentation is reviewed by both program and fiscal staff and compared with the invoice charges to ensure that all expenses are allowable. Fiscal staff track contract expenses, and with controls built into the payment system, ensure payments don't exceed the amount contracted.

c. 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 the last invoice of the fiscal year. At that time full documentation with a general ledger is required. A budget tracker is created at the beginning of each contract start date, listing the grantee's approved budget per contract year. All invoices and expenses are tracked in this budget tracker to ensure that the grantee is not charging more than the allowed amount per grant year. Each invoice is reviewed by two members of the Lead Agency staff prior to releasing payment.

d. Other. Describe:

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8.1.2 Identifying risk

Check and describe the processes that the Lead Agency will use to identify risk in their CCDF program (98.68(a)(2)). Check all that apply:

a. 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.

b. 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 have reporting requirements when a child ends care. 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 reporting a child who did not attend eight hours in the current month or is not expected to attend eight hours in the following month. When the change report results in an overpayment, a referral is submitted to the Payment Error Prevention Unit to process the overpayment. Providers are required to retain electronic attendance records from an approved vendor for three years.

c. 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.

d. Other. Describe:

Program Specialists attend eligibility staff meetings on a regular basis to provide feedback about error trends discovered during Quality Control and case reviews. Program specialists 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.

8.1.3 Processes to train about CCDF requirements and program integrity

States and territories are required to describe effective internal controls that are in place to ensure program integrity and accountability (98.68(a)), including processes to train child care providers and staff of the Lead Agency and other agencies engaged in the administration of CCDF about program requirements and integrity.

a. Check and 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.

i. Issue policy change notices. Describe:

The Lead Agency notifies providers of policy changes via email. An announcement summarizing the changes is also posted on the home page of the Lead Agency's Provider Portal.

ii. Issue policy manual. Describe:

Providers are required to read and sign the Lead Agency's Provider Guide when they become licensed. This is a requirement to accept subsidy payments. Providers are notified when substantive changes are made to the provider guide. Providers agree to any changes in the terms and conditions by logging into the Lead Agency's Provider Portal.

iii. Provide orientations.

All new providers are sent an email instructing them on how to create a provider portal account and how to navigate the provider portal. A provider helpline specialist follows up with each provider to review the program requirements and expectations with them.

iv. Provide training. Describe:

Webinars are held when substantive policy changes are made that impact providers. The webinars are recorded and posted online to accommodate varying schedules. Webinars are also hosted to cover other training topics of interest. In addition, the Lead Agency's website contains many subsidy resources for providers. Provider's are also referred to the Frequently Asked Questions in the Lead Agency's Provider Portal.

v. Monitor and assess policy implementation on an ongoing basis. Describe:

The Lead Agency's Provider Helpline serves as a point of contact for all providers regarding subsidy issues. There is one email address where providers can contact the Lead Agency regarding policy questions or concerns. Feedback received from child care providers is shared in regular meetings with the Lead Agency's Eligibility Division and used to assess the effectiveness of policy changes

vi. Meet regularly regarding the implementation of policies. Describe:

Webinars are held to discuss upcoming policy changes. Topics may include questions regarding changes that have already been implemented. Additionally, the Lead Agency meets with membership of the Utah private provider associations at least every other month to discuss various topics. Subsidy policy updates are shared with the Office of Child Care Advisory Committee, which meets every other month.

vii. Other. Describe:

b. 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 (98.68 (a)(3)).
Check all that apply:

i. Issue 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 to eligibility staff.

Staff from other agencies, such as Child Care Licensing, are also informed of any policy change related to their role in helping and administering any CCDF funds. They receive written information of any policy change and are invited to participate in discussions about the topic periodically.

Care About Child Care staff are informed of policy changes through weekly email updates as well as during monthly meetings where in depth information is shared to ensure consistent delivery of quality services throughout the state. Staff are able to give input prior to policies being implemented in some cases. They are also able to ask questions for clarification purposes.

ii. Train on policy change notices. Describe:

Supervisors or program specialists review the updates in eligibility staff meetings to ensure staff understand the changes.

Staff from other agencies, such as Child Care Licensing, are also trained on any policy change related to their role in helping and administering any CCDF funds. They are invited to participate in training and discussions about the topic periodically. Any current and new issues are discussed during their monthly training meetings.

OCC Program Specialists work closely with the Care About Child Care Agencies to ensure policy is available, clear and support is provided if agency staff need clarification. Training on policies is available in monthly meetings, individual phone calls, during site visits or individual meetings, if needed.

[x] iii. Issue policy manuals. Describe:

The Lead Agency has a policy manual for all eligibility programs. The manual is accessible to all staff online.

The Lead Agency makes the policy manual accessible to other agencies as needed and applicable to their role and involvement.

CCQS policy is available to CAC Agencies and individuals in specific roles are trained on policy and procedure in relation to each particular job. While training is primarily completed through the Director's of the respective agencies, OCC Program Specialists guide the programmatic aspects and provide support to ensure consistency of delivery of services throughout Utah. Monthly Director's meetings are held to provide clear and up to date information.

[x]iv. Train on policy manual. Describe:

New staff are trained on how to use the policy manual. When policy changes, the policy citations are announced and reviewed with the eligibility teams.

The Lead Agency makes the policy manual accessible to other agencies and provides training to their staff as needed and applicable to their role and involvement. Any current and new issues are discussed during their monthly training meetings.

New Care About Child Care staff are trained on CCQS policy upon hire within their respective agencies. Additionally, ongoing support and training is provided as described above.

[x]v. Monitor and assess policy implementation on an ongoing basis. Describe:

Quality Control and Performance Case Reviews are conducted monthly to ensure policies are being implemented correctly.

A Lead Agency representative regularly attends staff meetings, revises contracts, and meets with staff from other agencies to monitor and assess policy implementation and to monitor compliance with contract requirements.

Site visits and monitoring are utilized to monitor policy implementation within the Care About Child Care Agencies. Staff that work in programs specifically in support of CCQS are monitored in other ways through surveys as well as periodic observation of their work in the field. To ensure integrity of policies in relation to observations, reliability checks are required and consistent monthly training on procedures for completing observation is provided by the Lead Agency.

[x] vi. Meet regularly regarding the implementation of policies. Describe:

Program specialists attend quarterly staff meetings to ensure that staff understand and are acting on the implemented changes.

A Lead Agency representative regularly attends staff meetings, revises contracts, and meets with staff from other agencies to monitor and assess policy implementation and to monitor compliance with contract requirements. There is at least one yearly meeting to revise contracts and additional meetings to evaluate amendments.

Care About Child Care Agency staff meet with appropriate Program Specialists monthly. Some meetings are in person and others are via computer. Director's meet with the Program Specialist that ensures their completion of their SOW on at least a monthly basis. Individual meetings may be arranged if needed.

[]vii. Other. Describe:

8.1.4 Evaluate internal control activities

Describe the processes in place to regularly evaluate Lead Agency internal control activities (98.68 (a)(4)). Describe:

Quality Control and Performance Case reviews are conducted monthly to identify administrative errors and improper payments. Additionally, a child care policy workgroup consisting of several divisions within the Lead Agency meets monthly. Internal control activities are discussed prior to implementing a policy change and are reviewed after implementation to ensure integrity of the program is maintained.

8.1.5 Identify fraud and other program violations

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.

Amended: Effective Date 07/01/2023

a. Check and describe all activities that the Lead Agency conducts, including the results of these activities, 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.

[x]	<p>i. 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 activities and the results of these activities: 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).</p>
[]	<p>ii. Run system reports that flag errors (include types). Describe the activities and the results of these activities:</p>
[x]	<p>iii. Review enrollment documents and attendance or billing records. Describe the activities and the results of these activities: Providers are required to retain electronic attendance records with an approved vendor for three years. Attendance records are used to establish whether the minimum hours of services were provided and are requested during investigations and audits. This has resulted in detecting overpayments that have been referred for collection.</p>
[x]	<p>iv. Conduct supervisory staff reviews or quality assurance reviews. Describe the activities and the results of these activities: The state continues to complete quality control 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. This establishes consistency in processes and helps detect and reduce errors.</p>
[x]	<p>v. Audit provider records. Describe the activities and the results of these activities: The Lead Agency has developed and implemented an auditing process for situations identified as high risk. This has resulted in detecting overpayments that have been referred for collection.</p>

[x]	vi. Train staff on policy and/or audits. Describe the activities and the results of these activities: Staff are trained on policy and are instructed to submit an investigation referral when circumstances are questionable or fraud is suspected. This has resulted in detecting overpayments that have been referred for collection.
[x]	vii. Other. Describe the activities and the results of these activities: 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 and report children who have not attended at least eight hours or are not expected to attend eight hours the following month. 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. Overpayments are referred for collection.

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b. Check and describe all activities the Lead Agency conducts, including the results of these activities, to **identify unintentional program violations**. Include in the description how each activity assists in the identification and prevention of unintentional program violations.

[x]	i. 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 activities and the results of these activities: 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 unintentional program violations.
[x]	ii. Run system reports that flag errors (include types). Describe the activities and the results of these activities: 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.

[x]	iii. Review enrollment documents and attendance or billing records. Describe the activities and the results of these activities: Providers are required to retain electronic attendance records with an approved vendor for three years. Attendance records are used to establish whether the minimum hours of services were provided and are requested during investigations and audits. This has resulted in detecting overpayments that have been referred for collection.
[x]	iv. Conduct supervisory staff reviews or quality assurance reviews. Describe the activities and the results of these activities: The state continues to complete quality control 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. This establishes consistency in processes and helps detect and reduce errors.
[x]	v. Audit provider records. Describe the activities and the results of these activities: The Lead Agency has developed and implemented an auditing process for situations identified as high risk. This has resulted in detecting overpayments that have been referred for collection.
[x]	vi. Train staff on policy and/or audits. Describe the activities and the results of these activities: Staff are trained on policy and are instructed to submit an investigation referral when circumstances are questionable or fraud is suspected. This has resulted in detecting overpayments that have been referred for collection.
[x]	vii. Other. Describe the activities and the results of these activities: 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 and report children who have not attended at least eight hours or are not expected to attend eight hours the following month. 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. Overpayments are referred for collection.

Amended:	Effective	Date
		07/01/2023

c. Check and describe all activities that the Lead Agency conducts, including the results of these activities, to **identify and prevent agency errors**. Include in the description how each activity assists in the identification and prevention of agency errors.

[x]	<p>i. 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 activities and the results of these activities:</p> <p>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 agency errors.</p>
[x]	<p>ii. Run system reports that flag errors (include types). Describe the activities and the results of these activities:</p> <p>Six system reports are run to flag errors. They include the following:</p> <p style="padding-left: 40px;">Monthly Review Status report Case Review Workload Case Review Causal Factor Report Case Review Case Review Accuracy Quality Control Report</p> <p>These reports are pulled on a monthly basis. The monthly review status report and case review workload are pulled to review each Quality Control specialists caseloads and the errors that they have cited. The case review causal factor report is pulled to identify the error trends that each analyst is finding. The case review accuracy report helps identify the team, manager, supervisor, and eligibility specialist of where the error occurred. The Quality Control report helps to identify the accuracy of the analyst's reviews. The case review report generates the cases that are to be reviewed by either the Performance Review Team or Quality Control. Reviewing these reports with staff on a monthly basis helps to maintain high case accuracy. Of the Quality Control cases sampled during FY2021, less than five percent resulted in improper payments.</p>
[x]	<p>iii. Review enrollment documents and attendance or billing records. Describe the activities and the results of these activities:</p> <p>Providers are required to retain electronic attendance records with an approved vendor for three years. Attendance records are used to establish whether the minimum hours of services were provided and are requested during investigations and audits. This has resulted in detecting overpayments that have been referred for collection.</p>

[x]	iv. Conduct supervisory staff reviews or quality assurance reviews. Describe the activities and the results of these activities: 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. This establishes consistency in processes and helps detect and reduce errors.
[x]	v. Audit provider records. Describe the activities and the results of these activities: The Lead Agency has developed and implemented an auditing process for situations identified as high risk. This has resulted in detecting overpayments that have been referred for collection.
[x]	vi. Train staff on policy and/or audits. Describe the activities and the results of these activities: Staff are trained on policy and are instructed to submit an investigation referral when circumstances are questionable or fraud is suspected. This has resulted in detecting overpayments that have been referred for collection.
[x]	vii. Other. Describe the activities and the results of these activities: 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 and report children who have not attended at least eight hours or are not expected to attend eight hours the following month. 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. Agency errors may also be detected through this process. Overpayments are referred for collection.

8.1.6 Identify and recover misspent funds

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.

a. Identify what agency is responsible for pursuing fraud and overpayments (e.g. State Office of the Inspector General, State Attorney).

The Lead Agency is responsible for pursuing fraud and overpayments. The Lead Agency coordinates with the state Attorney General's office for criminal prosecution of fraud.

b. Check and describe all activities, including the results of such activity, 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. Activities can include, but are not limited to, the following:

[x] i. Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount. Describe the activities and the results of these activities:

There is no minimum dollar amount needed to establish fraud. An individual or program may still be disqualified.

ii. Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency). Describe the activities and the results of these activities:

The Lead Agency coordinates with the state Attorney General's office for criminal prosecution of fraud.

iii. Recover through repayment plans. Describe the activities and the results of these activities

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.

iv. Reduce payments in subsequent months. Describe the activities and the results of these activities:

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.

v. Recover through state/territory tax intercepts. Describe the activities and the results of these activities:

Offsets of state tax refunds are processed when the administrative order issued for the overpayment has been docketed with the court as a judgment.

vi. Recover through other means. Describe the activities and the results of these activities:

Payments may also be received through wage garnishment.

vii. Establish a unit to investigate and collect improper payments and describe the composition of the unit below. Describe the activities and the results of these activities:

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. During the time period of June 2020-June 2021, 752 child care investigations were completed resulting in \$344,705 in child care overpayment referrals submitted to the Adjudication Unit. The Adjudication Unit consists of a manager and 18 staff who calculate and adjudicate payments. The Collection Unit is composed of a manager and 10 staff who complete the collections and enforcement functions. Through multiple collection efforts, the Lead Agency recouped \$329,608.73 from child care recipients and \$1,262,799.68 from child care providers during the time period of July 2020-June 2021. This data may include recoupment of intentional, unintentional and agency errors.

viii. Other. Describe the activities and the results of these activities:

c. Check and describe 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:

i. N/A. the Lead Agency does not recover misspent funds due to unintentional program violations.

ii. Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount. Describe the activities and the results of these activities:

There is a \$300 minimum recovery threshold for customers. There is no minimum

recovery threshold for provider improper payments.

iii. Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency). Describe the activities and the results of these activities:

iv. Recover through repayment plans. Describe the activities and the results of these activities:

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.

v. Reduce payments in subsequent months. Describe the activities and the results of these activities:

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.

vi. Recover through state/territory tax intercepts. Describe the activities and the results of these activities:

Offsets of state tax refunds are processed when the administrative order issued for the overpayment has been docketed with the court as a judgment.

vii. Recover through other means. Describe the activities and the results of these activities:

Payments may also be received through wage garnishment.

viii. Establish a unit to investigate and collect improper payments and describe the composition of the unit below. Describe the activities and the results of these activities:

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. During the time period of June 2020-June 2021, 752 child care investigations were completed resulting in \$344,705 in child care overpayment referrals submitted to the Adjudication Unit. The Adjudication Unit consists of a manager and 18 staff who calculate and adjudicate payments. The Collection Unit is composed of a manager and 10 staff who complete the collections and enforcement functions. Through multiple collection efforts, the Lead Agency recouped \$329,608.73 from child care recipients and \$1,262,799.68 from child care providers during the time period of July 2020-June 2021. This data may include recoupment of intentional, unintentional and agency errors.

ix. Other. Describe the activities and the results of these activities:

d. 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.

i. N/A. the Lead Agency does not recover misspent funds due to agency errors.

ii. Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount. Describe the activities and the results of these activities:

There is a \$300 minimum recovery threshold for customers. There is no minimum recovery threshold for provider improper payments.

iii. Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection

agency, law enforcement agency). Describe the activities and the results of these activities:

iv. Recover through repayment plans. Describe the activities and the results of these activities:

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.

v. Reduce payments in subsequent months. Describe the activities and the results of these activities:

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.

vi. Recover through state/territory tax intercepts. Describe the activities and the results of these activities:

vii. Recover through other means. Describe the activities and the results of these activities:

viii. Establish a unit to investigate and collect improper payments and describe the composition of the unit. Describe the activities and the results of these activities:

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. During the time period of June 2020-June 2021, 752 child care investigations were completed resulting in \$344,705 in child care overpayment referrals submitted to the Adjudication Unit. The Adjudication Unit consists of a manager and 18 staff who calculate and adjudicate payments. The Collection Unit is composed of a manager and 10 staff who complete the collections and enforcement functions. Through multiple collection efforts, the Lead Agency recouped \$329,608.73 from child care recipients and \$1,262,799.68 from child care providers during the time period of July 2020-June 2021. This data may include recoupment of intentional, unintentional and agency errors.

ix. Other. Describe the activities and the results of these activities:

8.1.7 Sanctions to reduce improper payments

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:

a. Disqualify the client. If checked, describe this process, including a description of the appeal process for clients who are disqualified. Describe the activities and the results of these activities:

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.

b. Disqualify the provider. If checked, describe this process, including a description of the appeal process for providers who are disqualified. Describe the activities and the results of these activities:

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.

c. Prosecute criminally. Describe the activities and the results of these activities:

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.

d. Other. Describe the activities and the results of these activities:

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 impair or delay 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: MRS, Alternative Methodology and Narrow Cost Analysis Waiver Request Form

Lead Agencies may apply for a temporary waiver for the Market Rate Survey or ACF pre-approved alternative methodology and/or the narrow cost analysis in. These waivers will be considered “extraordinary circumstance waivers” to provide relief from the timeline for completing the MRS or ACF pre-approved alternative methodology and the narrow cost analysis during the COVID-19 pandemic. These waivers are limited to a one-year period.

Approval of these waiver requests is subject to and contingent on OCC review and approval of responses in Section 4, questions 4.2.1 and 4.2.5.

To submit a Market Rate Survey (MRS) or ACF pre-approved alternative methodology or a Narrow Cost Analysis waiver, complete the form below.

Check and describe each provision for which the Lead Agency is requesting a time-limited waiver extension.

Appendix A.1: The Market Rate Survey (MRS) or ACF pre-approved alternative methodology (See related question 4.2.1.)

1. Describe the provision (MRS or ACF pre-approved alternative methodology) from which the state/territory seeks relief. Include the reason why the Lead Agency is seeking relief from this provision due to this extraordinary circumstance.
2. Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children.
3. Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

Appendix A.2: The Narrow Cost Analysis (See related question 4.2.5.)

1. Describe the provision (Narrow Cost Analysis) from which the state/territory seeks relief. Include the reason why in these extraordinary circumstances, the Lead Agency is seeking relief from this provision.
2. Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children.
3. Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.