



Child Care and Development Fund (CCDF) Plan

for

State/Territory Arizona

FFY 2016-2018

This Plan describes the CCDF program to be administered by the State/Territory for the period 6/1/2016 – 9/30/2018. 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 them regardless of these modifications.

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

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

Table of Contents

Table of Contents	2
Introduction and How to Approach Plan Development	4
1 Define CCDF Leadership and Coordination with Relevant Systems.....	7
1.1 CCDF Leadership	7
1.2 CCDF Policy Decision Authority	9
1.3 Consultation in the Development of the CCDF Plan.....	12
1.4 Coordination with Partners to Expand Accessibility and Continuity of Care	22
1.5 Optional Use of Combined Funds.....	29
1.6 Public-Private Partnerships.....	30
1.7 Coordination with Local or Regional Child Care Resource and Referral Systems	32
1.8 Disaster Preparedness and Response Plan.....	33
2 Promote Family Engagement through Outreach and Consumer Education	37
2.1 Information about Child Care Financial Assistance Program Availability and Application Process.....	38
2.2 Consumer and Provider Education Information.....	40
2.3 Website for Consumer Education.....	53
3 Provide Stable Child Care Financial Assistance to Families	56
3.1 Eligible Children and Families	57
3.2 Increasing Access for Vulnerable Children and Families	79
3.3 Protection for Working Parents.....	82
3.4 Family Contribution to Payment	86
4 Ensure Equal Access to High Quality Child Care for Low-Income Children	88
4.1 Parental Choice In Relation to Certificates, Grants or Contracts	89
4.2 Assessing Market Rates and Child Care Costs	92
4.3 Setting Payment Rates.....	97
4.4 Summary of Facts Used to Determine that Payments Rates Are Sufficient to Ensure Equal Access.....	101
4.5 Payment Practices and Timeliness of Payments	104
4.6 Supply Building Strategies to Meet the Needs of Certain Populations.....	107
5 Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings.....	111
5.1 Licensing Requirements and Standards	111
5.2 Monitoring and Enforcement Policies and Practices	132
5.3 Criminal Background Checks	142
6 Recruit and Retain a Qualified and Effective Child Care Workforce	111
6.1 Training and Professional Development Requirements.....	152

6.2	Supporting Training and Professional Development of the Child Care Workforce with CCDF Quality Funds	168
6.3	Early Learning and Developmental Guidelines.....	188
7	Support Continuous Quality Improvement	196
7.1	Activities to Improve the Quality of Child Care Services	197
7.2	Quality Rating and Improvement System.....	200
7.3	Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers	204
7.4	Child Care Resource & Referral	212
7.5	Facilitating Compliance with State Standards	214
7.6	Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services	215
7.7	Accreditation Support.....	217
7.8	Program Standards	219
7.9	Other Quality Improvement Activities	221
8	Ensure Grantee Program Integrity and Accountability	196
8.1	Program Integrity.....	222

Introduction and How to Approach Plan Development

Access to stable, high quality child care and early learning experiences improves the odds of success for two generations – parents and children - who rely on child care across the country. The Child Care and Development Fund (CCDF) provides resources to State, Territory, and Tribal grantees that enable low-income parents to work or pursue education and training so that they may better support their families while at the same time promoting the learning and development of their children. The CCDF also provides funding to enhance the quality of child care for all children.

On November 19, 2014, President Obama signed the bipartisan-supported Child Care and Development Block Grant (CCDBG) Act of 2014 into law (Pub. L. 113-186)

(https://www.acf.hhs.gov/sites/default/files/occ/child_care_and_development_block_grant_markup.pdf). The law reauthorizes and significantly revises the purposes of the CCDF program and requirements for State and Territory grantees. The law establishes minimum child care assistance eligibility periods, health and safety standards and training requirements for providers, monitoring, consumer information and other components that when fully implemented will strengthen child care in this country and support child and family success.

States and Territories must comply with the provisions of the Child Care and Development Block Grant (CCDBG) Act, as revised by reauthorization. The Office of Child Care (OCC) has provided interpretive guidance on the new requirements of the law through Program Instructions or responses to Frequently Asked Questions, which are available at: <http://www.acf.hhs.gov/programs/occ/ccdf-reauthorization>. Pending the issuance of implementing regulations, States and Territories are to comply with the law based on their reasonable interpretation of the requirements in the revised CCDBG statute. Further Federal clarification through guidance and regulation is forthcoming. Once final rules are issued, any States and Territories that do not fully meet the requirements of the regulations will need to revise their policies and procedures to come into compliance, and file appropriate Plan amendments related to those changes.

CCDF Plan Overview. The Administration for Children and Families (ACF) re-designed the CCDF Plan to assist State and Territory grantees to plan for full implementation of the law. We recognize that the CCDBG Act of 2014 includes a significant number of changes, some of which are straightforward to implement, while others are complex and will be phased-in over several years. The level of effort needed for implementation will vary across the country depending on the number of changes a State or Territory needs to make. We encourage all States and Territories to take time to think systematically and consider large-scale changes to advance a coherent vision for their child care programs and achieve the goals of the reauthorization – that is, to improve the health, safety, and quality of child care and to improve low-income working families’ access to child care assistance and care that promotes child development. Some States and Territories will need time to enact changes through their legislatures or rulemaking processes. In addition, some requirements will take time to fully operationalize. ACF will work with States and Territories to ensure that adoption and implementation of these important changes are done in a thoughtful and comprehensive manner.

The Plan process continues to be the primary mechanism by which ACF will determine State and Territory compliance with requirements in the new law. The CCDBG Act of 2014 changed the Plan cycle

from a biennial to a triennial Plan period; thus, this Plan will cover a 3-year period. (658E(b)) States and Territories are required to submit their FY 2016-2018 CCDF Plans by March 1, 2016, and approved Plans will become effective June 1, 2016. This Pre-Print will provide a tool for States and Territories to describe to ACF their implementation plans to:

1. Define CCDF Leadership and Coordination with Relevant Systems
2. Promote Family Engagement through Outreach and Consumer Education
3. Provide Stable Child Care Financial Assistance to Families
4. Ensure Equal Access to High Quality 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 Accountability

These organizational categories reflect key functions of an integrated system of high quality 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 need for technical assistance and CCDF Plan amendments, and ultimately determine compliance with specific requirements and deadlines.

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 State/Territory acknowledges its responsibility to adhere to them regardless of these modifications. The Plan contains definitions where provided by law. For terminology not defined in the law, some illustrative examples may be provided. These should only be considered examples, and not requirements, for purposes of responding. If no definitions are provided, States/Territories should respond based on their own definitions for those terms.

CCDBG Implementation Deadlines. In some cases, the CCDBG Act of 2014 specifies a particular date when a provision is effective. Where the law does not specify a date, the new requirements became effective upon the date of enactment and States/Territories have until September 30, 2016 to implement the new statutory requirement(s). ACF has determined that when a State or Territory cannot certify compliance with a specific requirement at the time of CCDF plan submission (March 1, 2016), the grantee must provide a State/Territory-specific implementation plan for achieving compliance with such provision(s). The implementation plan must provide sufficient information to support approval of the Plan for funding.

Specifically, as part of its implementation plan, States/Territories will be asked to describe:

- Overall target completion date (no later than appropriate effective date deadline)
- Current overall status for this section (not yet started, partially implemented, substantially implemented, other) including describing progress to date for any requirements already implemented and listing any unmet requirements that are not yet fully implemented

- Specific steps (activities) you will take to complete implementation of the unmet requirement(s) (e.g., secure legislative or rule changes, modify agreements with coordinating agencies, etc.)
- Timeline for implementation including projected start date and end date for each step
- Agency/entity responsible for completing implementation of the goal/objective, and partners who will work with the responsible agency to complete implementation of the goal/objective.

We recognize that it will take multiple steps and interim activities toward complete implementation of the requirement. We have included spaces to allow respondents to outline those interim steps and associated timelines (projected start and end dates) for those interim steps to be outlined. A comprehensive summary of the topical implementation plans across sections will be generated electronically to facilitate monitoring of progress towards completion.

ACF will work with States and Territories to monitor progress towards achievement of these requirements and will conduct ongoing reviews of implementation plans until fulfillment of the requirement. Upon completion of the implementation plan, the State/Territory will submit a Plan amendment to certify fulfillment of the requirement(s). These updates and amendments can be submitted at any time prior to the effective date of the requirement. For example, States and Territories may, and are encouraged to, submit amendments to certify compliance with requirements upon completion, but no later than the effective date of the requirements (refer to the Program Instruction on Effective Dates for these deadlines <https://www.acf.hhs.gov/programs/occ/resource/pi-2015-02> and corresponding timeline of effective dates <https://www.acf.hhs.gov/programs/occ/resource/pi-2015-02-attachment-timeline-of-effective-dates-for-States-and-Territories-ccdbg-act-of-2014>).

Lead Agencies can access a variety of federal technical assistance resources to support implementation of the new requirements at: <https://childcareta.acf.hhs.gov/ccdf-reauthorization>. In addition to these materials, States and Territories will continue to receive support through the Office of Child Care's Technical Assistance Network (CCTAN) to assist with implementation of the new law. ACF recommends reviewing these resources prior to starting and completing each section of the Plan.

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 in the ACF-118 site may 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). Until the final draft is approved, States and Territories may use the draft CCDF Plan preprint templates as they work to implement the new law. In responding to questions, States and Territories are asked to provide brief, specific summary text and/or bullet points only. Do not use tables or copy and paste charts, attachments or 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 CCDBG compliance monitoring efforts. In cases where the CCDBG Act of 2014 did not change CCDF regulatory requirements (e.g., Public Hearing requirements), the CCDF regulations are still in effect and relevant questions are included in this Plan.

The CCDF Plan does not contain the Quality Performance Report (QPR) appendix included in previous Plans. The CCDBG Act of 2014 requires ongoing collection of some information that was included in the QPR. ACF will issue a separate information collection tool for public comment and approval linked to the CCDF Plan and updated based on the new requirements in the law.

1 Define CCDF Leadership and Coordination with Relevant Systems

Implementation of the requirements of the CCDBG Act of 2014 will require leadership and coordination between the child care assistance program and other child- and family-serving agencies, services, and supports at the state and local levels. ACF recognizes that each grantee must identify the most appropriate entities and individuals to lead and participate in implementation based on the context within that State or Territory. This will include those that manage various components of CCDF-funded activities and requirements (fiscal, subsidy, health and safety monitoring, and continuous quality improvement) as well as other public and private partners.

This section collects information to help ACF understand the stakeholders convened and consulted to develop the Plan, where authority lies to make policy decisions and program changes, and who is responsible for implementing the blueprint for action the Plan describes. For example, the law requires that, at the option of the Tribes, State/Territory Lead Agencies must collaborate and coordinate with Indian tribes or tribal organizations in the State in a timely manner in the development of the CCDF Plan. ACF expects that new requirements in the law will necessitate that grantees build partnerships with other agencies and organizations to better link the children and families receiving financial assistance to information, services and resources regarding other programs for which they may be eligible, including developmental screenings for children, and other resources (also in section 2). In addition, States and Territories must describe how public-private partnerships are being used to increase the supply and quality of child care services.

1.1 CCDF Leadership

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

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

Identify the Lead Agency or joint inter-agency office designated by the State/Territory. ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals, and disallowance notifications to the designated contact identified here. (658D(a))

Name of Lead Agency [Arizona Department of Economic Security](#)

Address of Lead Agency [1789 West Jefferson Street, P.O. Box 6123, Phoenix, Arizona 85005](#)

Name and Title of the Lead Agency Official [Timothy Jeffries, Director](#)

Phone Number [\(602\) 542-5757](#)

E-Mail Address TJeffries@azdes.gov

Web Address for Lead Agency (if any) <https://des.az.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/Territory's CCDF program. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator or entity with administrative responsibilities and include contact information.

a) Contact Information for CCDF Administrator:

Name of CCDF Administrator [Karie Taylor](#)

Title of CCDF Administrator [Executive Director, Arizona Early Intervention Program and Acting Program Administrator, Arizona Department of Economic Security Child Care Administration](#)

Address of CCDF Administrator [3839 North 3rd Street, Suite #304, Phoenix, Arizona 85012-2066](#)

Phone Number [\(602\) 532-9960](#)

E-Mail Address KTaylor@azdes.gov

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

Name of CCDF Co-Administrator [N/A](#)

Title of CCDF Co-Administrator [N/A](#)

Phone Number [N/A](#)

E-Mail Address [N/A](#)

Description of the role of the Co-Administrator [N/A](#)

c) Primary Contact Information for the CCDF Program:

Phone Number for CCDF program information (for the public) (if any) [\(602\) 542-4248](#)

Web Address for CCDF program (for the public) (if any)

<https://des.az.gov/services/basic-needs/child-care-home>

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

Web Address for CCDF program administrative rules (if any)
http://apps.azsos.gov/public_services/Title_06/6-05.pdf

1.1.3 Identify the agency/department/entity that is responsible for each of the major parts of CCDF administration and the name of the lead contact responsible for managing this portion of the Plan.

- ☐ Outreach and Consumer Education (section 2):
 - o Agency/Department/Entity [Arizona Department of Economic Security/Child Care Administration/Acting Program Administrator](#)
 - o Name of Lead Contact [Karie Taylor](#)
- ☐ Subsidy/Financial Assistance (section 3 and section 4)
 - o Agency/Department/Entity [Arizona Department of Economic Security/Child Care Administration/Acting Program Administrator](#)
 - o Name of Lead Contact [Karie Taylor](#)
- ☐ Licensing/Monitoring (section 5):
 - o Agency/Department/Entity [Arizona Department of Health Services/Bureau of Child Care Licensing/Bureau Chief](#)
 - o Name of Lead Contact [Lourdes Ochoa](#)
- ☐ Child Care Workforce (section 6):
 - o Agency/Department/Entity [Arizona Department of Economic Security/Child Care Administration/Acting Program Administrator](#)
 - o Name of Lead Contact [Karie Taylor](#)
- ☐ Quality Improvement (section 7):
 - o Agency/Department/Entity [Arizona Early Childhood Development and Health Board, First Things First/Chief Program Officer](#)
 - o Name of Lead Contact [Michelle Katona](#)
- ☐ Grantee Accountability/Program Integrity (section 8):
 - o Agency/Department/Entity [Arizona Department of Economic Security/Child Care Administration/Acting Program Administrator](#)
 - o Name of Lead Contact [Karie Taylor](#)

1.2 CCDF Policy Decision Authority

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

1.2.1 Which of the following CCDF program rules and policies are set or established at the State/Territory versus the local level? In other words, identify whether CCDF program rules and policies are established by the State or Territory (even if administered or operated locally) or whether the CCDF policies or rules are established by local entities (such as counties or workforce boards) setting those policies. Check one.

☒ All program rules and policies are set or established at the State/Territory level.

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

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

☐ State/Territory

☐ County. If checked, describe the type of eligibility policies the county can set _____

☐ Other local entity (e.g., workforce boards, early learning coalitions). If checked, identify the entity (e.g. workforce board) and describe the type of eligibility policies the local entity(ies) can set _____

☐ Other. Describe _____

☐ Sliding fee scale is set by the:

☐ State/Territory

☐ County. If checked, describe the type of sliding fee scale policies the county can set _____

☐ Other local entity (e.g., workforce boards, early learning coalitions). If checked, identify the entity (e.g. workforce board) and describe the type of sliding fee scale policies the local entity(ies) can set _____

☐ Other. Describe _____

☐ Payment rates are set by the:

☐ State/Territory

☐ County. If checked, describe the type of payment rate policies the county can set _____

☐ Other local entity (e.g., workforce boards, early learning coalitions). If checked, identify the entity (e.g. workforce board) and describe the type of payment rate policies the local entity(ies) can set _____

☐ Other. Describe _____

☐ Other. List and describe (e.g., quality improvement systems, payment practices) _____

1.2.2 How is the CCDF program operated in your State/Territory? In other words, which agency(ies) implement or perform these CCDF services and activities and how will the State/Territory ensure that Federal CCDF requirements are fully implemented by other governmental or nongovernmental agencies. ACF recommends minimizing differences in eligibility or other policies across counties or other jurisdictions to ease family burden and confusion. Check all that apply and describe the services performed by the entity and how the State/Territory ensures accountability that federal requirements are fully implemented by other agency(ies).

a) Who determines eligibility?

- ☒ CCDF Lead Agency
- ☐ TANF agency. Describe. _____
- ☐ Other State/Territory agency. Describe. _____
- ☐ Local government agencies such as county welfare or social services departments. Describe. _____
- ☐ Child care resource and referral agencies. Describe. _____
- ☐ Community-based organizations. Describe. _____
- ☐ Other. Describe. _____

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

- ☒ CCDF Lead Agency
- ☐ TANF agency. Describe. _____
- ☐ Other State/Territory agency. Describe. _____
- ☐ Local government agencies such as county welfare or social services departments. Describe. _____
- ☒ Child care resource and referral agencies. Describe. [Arizona's Child Care Resource & Referral service provides consumer education and is funded by the Lead Agency.](#)
- ☐ Community-based organizations. Describe. _____
- ☐ Other. Describe. _____

c) Who issues payments?

- ☒ CCDF Lead Agency
- ☐ TANF agency. Describe. _____
- ☐ Other State/Territory agency. Describe. _____
- ☐ Local government agencies such as county welfare or social services departments. Describe. _____
- ☐ Child care resource and referral agencies. Describe. _____

☐ Community-based organizations. Describe. _____

☐ Other. Describe. _____

1.3 Consultation in the Development of the CCDF Plan

The Lead Agency is responsible for developing the CCDF plan which serves as the application for a three-year implementation period. In the development of the CCDF plan, the Lead Agency shall consult with appropriate representatives of units of general purpose local government. (658D(b)(2)) General purpose local governments is defined by the U.S. Census at

https://www.census.gov/newsroom/cspan/govts/20120301_cspan_govts_def_3.pdf

The CCDBG Act of 2014 added a requirement that States consult with the State Advisory Council on Early Childhood Education and Care (pursuant to 642B(b)(1)(A)(i) of the Head Start Act). 658E(c)(2)(R) In addition, States shall, at the option of an Indian tribe or tribal organization in the State, collaborate and coordinate with such Indian tribe or tribal organization in the development of the State plan in a timely manner. (658D (b)(1)(E))

1.3.1 Check who and describe how the Lead Agency consulted with these entities in the development of the CCDF Plan (check all that apply). For example, did the entity participate in a drafting committee, review drafts, sign off on the final version, or develop a memorandum of understanding with the Lead Agency to meet requirements to share information or services for CCDF subsidy families, or other manner of participation? This list includes entities required by law along with a list of optional CCDF Plan consultation partners that Lead Agencies potentially would consult with in their developing their CCDF Plan.

☐ [REQUIRED] Appropriate representatives of general purpose local government, which can include counties, municipalities or townships/towns Describe [To support the dual goals of promoting financial stability for families and healthy child development, the CCDF Lead Agency engaged a vast array of internal and external stakeholders in the development of this Plan. While each section was addressed, the State took an integrated approach in developing the Plan, as the activities and strategies are interconnected and influence one another. For example, the development of the Expulsion Policy impacts professional development, quality standards, and monitoring and accountability. Identifying, leveraging, and expanding upon existing resources within and across the local government agencies, provider and community agencies, was also a focus throughout the development of the Plan. The Plan further supports the overall State effort in developing a comprehensive, coordinated early childhood system responsive to the needs of all families, children, and providers in Arizona.](#)

[The CCDF Lead Agency is in a unique position to utilize the two-generation approach to positively impact the cycle of poverty and unemployment. Strategies to strengthen families in this regard include; employment, education, job training, parent engagement, consumer education and access to high quality child care experiences. CCDF Lead Agency](#)

eligibility workers have already begun implementing the Strengthening Families Framework.

The Arizona Department of Economic Security combines most of the state's social service programs within a single agency. These include: child care assistance, employment and vocational services, Part C of the Individuals with Disabilities Education Act, Arizona Early Intervention Program for Infants and Toddlers with Disabilities, Supplemental Nutrition Assistance Program, Temporary Assistance to Needy Families, refugee resettlement, and child support enforcement. As a result, there is an opportunity to build upon the existing interdepartmental communication and coordination and to promote interagency collaboration and system integration within the Arizona Department of Economic Security strategic initiatives. Through these activities it is expected that families will be able to better identify their own goals and determine how to mobilize formal and informal resources to support themselves and their children. Within the Arizona Department of Economic Security there is an increased focus on building adult capabilities to improve child and family outcomes. Utilizing a resource-based capacity-building approach to support families of young children and providing high quality care during a child's formative years has the potential to pre-emptively close the academic achievement gap between low and high-income students. The dual focus of supporting the adults in children's lives and ensuring that children have positive outcomes will have a significant positive impact on socioeconomic outcomes for all.

Engagement with other state agency partners, early childhood programs and community partners began the day the CCDBG Reauthorization was signed in 2014. Coordination with external partners included state agencies: Arizona Department of Health Services, Department of Child Safety, Arizona Department of Education, the Arizona Early Childhood Development and Health Board (First Things First), other early childhood programs, providers, and community partners invested in supporting parent's efforts in accessing employment education, job training and high quality child care services.

Specific Agencies/Entities consulted with in the development of the CCDF Plan include:

The Arizona Department of Economic Security Child Care Advisory Committee, Tri-Agency Committee, Arizona Department of Economic Security Early Childhood Taskforce, Early Childhood and Provider Network Meetings, First Things First, the Interagency Coordinating Council for Infants and Toddlers with Developmental Delays or Disabilities, the Interagency Leadership Team of the Arizona Department of Health Services, and the Maternal Infant and Child Early Childhood Home Visiting Program.

Local governments; other federal, state, local, tribal and private agencies providing child care and early childhood development services such as: Head Start programs; resource

and referral program; philanthropic organizations that focus on early childhood issues, child welfare advocacy groups; tribal organizations; family child care providers; human service advocacy organizations; employer supported child care programs; Child and Adult Care Food Program sponsors; parents and consumers; school boards; before and after school programs; public school child care programs; business groups; sectarian organizations and child care programs; Child Development Associate programs; and organizations that accredit child care programs.

Following is a description of how these agencies/entities were consulted with in developing the CCDF State Plan:

Within this subsection, a description is provided of some of the numerous committees and boards that are involved at various levels in planning and/or provision of early care and education services and who consult in the development of the CCDF State Plan. These include: the Arizona Department of Economic Security Child Care Advisory Committee, Tri-Agency Committee, and First Things First. The following are descriptions of the purpose and efforts of these committees and boards. Information is specifically provided in terms of consultation and coordination efforts for each entity involved.

- ☐ [REQUIRED, IF APPLICABLE] State Advisory Council on Early Childhood Education and Care (pursuant to 642B(b)(1)(A)(i) of the Head Start Act). Describe The Arizona Early Childhood Development and Health Board (First Things First) has been designated as the State Advisory Council.

First Things First funds and administers the state Quality Improvement Rating System which identifies quality standards and measures programs to better understand the quality of services as well as provide supports to increase or maintain quality. First Things First is also the lead agency for the Arizona Early Childhood Career and Professional Development Network, a system to support the knowledge and skills of the early childhood workforce. Both statewide systems maintain data that will help develop the Plan, as well as monitor some parts of the implementation of the State Plan.

First Things First has been instrumental in drafting sections of the Plan, as well as participating in three CCDBG workgroups; Expulsion Policy/Social-Emotional Development, Integration with Other Federal Programs, as well as the Consumer Education CCDBG workgroup.

- ☐ If checked, does the Lead Agency have official representation and a decision-making role in the State Advisory Council?
 - ☒ Yes
 - ☐ No.
 - ☐ If no State Advisory Council on Early Childhood Education and Care (pursuant to 642B(b)(1)(A)(i) of the Head Start Act) exists in your State/Territory, describe how you

consulted with any other state- or state-designated cross-agency body such as an advisory council, cross-agency commission, or council or cabinet related to child and family planning and policy _____

- ☐ [REQUIRED] Indian tribe(s) and/or tribal organization(s), at the option of individual Tribes. Describe, including which Tribe(s) you consulted with In addition to having tribal representation on the Child Care Advisory Committee, the CCDF Lead Agency participates in and funds the Tribal Early Childhood Working Group that has been established and is facilitated by the Inter Tribal Council of Arizona, Inc. This group's membership includes representatives from Indian Nations/reservations in Arizona who are directly involved in the administration and development of early childhood development and child care programs. The group has adopted a set of guidelines identifying the improvement of coordination and quality child care as two of its goals. The CCDF Lead Agency uses this forum to communicate with Tribal child care and CCDF grantees to discuss issues and needs, to provide technical assistance as requested, and to seek input on the development of the Plan. The CCDF Lead Agency also meets as needed with individual representatives of Tribal TANF and Tribal employment programs in order to discuss child care issues and needs. Additionally, the CCDF Lead Agency has met with and will continue to meet with representatives of the Navajo Nation's CCDF program and Program for Self Reliance (TANF) and the Hopi Tribe's CCDF program in order to increase awareness of each grantee's program and to explore possible mechanisms that would enhance service delivery as described in the Plan.

Representatives of the Inter Tribal Council of Arizona, Inc. are participating in all four CCDBG workgroups convened by the CCDF Lead Agency on: Expulsion Policy/Social-Emotional Development; Emergency Preparedness; Consumer Education; and Integration with Other Federal Programs. The purpose of these workgroups is to develop coordinated and effective approaches to achieve specific State Plan objectives.

- ☐ Check N/A if no Indian Tribes and/or Tribal organizations in the State ☐
- ☐ State/Territory agency responsible for public education. Describe The Arizona Department of Education is responsible for oversight for public education for grades K-12 and early childhood special education preschool. The CCDF Lead Agency consults with the Arizona Department of Education in development of the Plan through their participation on the Child Care Advisory Committee and through regular on-going communication regarding other issues and mutual areas of concern, including Plan sections of Recruit and Retain a Qualified and Effective Workforce; and Support Continuous Quality Improvement. The Arizona Department of Education participates in three of the four CCDBG workgroups facilitated by the CCDF Lead Agency: Consumer Education; Integration with Other Federal Programs; as well as the Expulsion Policy/Social-Emotional Development workgroup that is drafting policies and procedures to help reduce expulsions, and to

identify statewide resources available to providers and families. In addition, the Arizona Department of Education coordinates Section 619 for preschool throughout the state.

- ☐ State/Territory agency/agencies responsible for programs for children with special needs, including early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool). Describe The Lead Agency for Individuals with Disabilities Education Act Part C is the Arizona Department of Economic Security Arizona Early Intervention Program, and is a statewide system of supports and services for families of infants and toddlers, birth to three years of age, with disabilities or delays.

The Arizona Early Intervention Program is participating in three of the four CCDBG workgroups facilitated by the CCDF Lead Agency; members have been instrumental in drafting policies and procedures for the Expulsion Policy/Social-Emotional Development workgroup, as well as participating in the Consumer Education and Integration with Other Federal Programs workgroups.

The Arizona Early Intervention Program has also assisted in reviewing sections of the Plan, particularly in the areas of Coordination with Relevant Systems; Consumer Education; Recruit and Retain a Qualified and Effective Workforce; and Support Continuous Quality Improvement.

Arizona Department of Education coordinates Section 619 for preschool for the state, and also participates in three of the four CCDBG workgroups facilitated by the CCDF Lead Agency: drafting policies and procedures for the Expulsion Policy/Social-Emotional Development workgroup; as well as participating in the Consumer Education; and Integration with Other Federal Programs workgroups. The Arizona Department of Education has assisted in drafting and reviewing sections of the Plan, particularly in the areas of; Recruit and Retain a Qualified and Effective Workforce; and Support Continuous Quality Improvement.

- ☐ State/Territory institutions for higher education, including community colleges. Describe _____
- ☐ State/Territory agency responsible for child care licensing. Describe The Arizona Department of Health Services Bureau of Child Care Licensing is responsible for both the licensing of child care centers and child care group homes and is a participating member of the Child Care Advisory Committee. Additionally, Arizona Department of Health Services has provided consultation and input into the development of the Plan particularly with respect to areas related to the health and safety of children in child care. The Arizona Department of Health Services also participates in the Emergency Preparedness CCDBG workgroup, which is developing the Statewide Emergency Preparedness Plan that will ensure continuity of child care services during an emergency.

- ☐ State/Territory office/director for Head Start State collaboration. Describe [The Arizona Department of Education is the state agency responsible for the Head Start Collaboration Grant. The Deputy Associate Superintendent, Early Childhood Education, School Effectiveness Division, is the Director of the Arizona Head Start Collaboration Office and is a participating member of the Child Care Advisory Committee. A representative from Arizona Head Start is participating in the Integration with Other Federal Programs CCDBG workgroup as well.](#)

- ☐ State/Territory/local agencies with Early Head Start-Child Care Partnerships grants. Describe _____

- ☐ State/Territory agency responsible for Child and Adult Care Food Program (CACFP). Describe [In addition to having regular communications with the Lead Agency on shared issues, representatives from the Arizona Department of Education, which administers the CACFP, are participating members of the Child Care Advisory Committee.](#)

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

- ☐ Other Federal, State, local and/or private agencies providing early childhood and school-age/youth serving developmental services. Describe [In addition to consulting with various entities in drafting the Plan, the Lead Agency provides representatives of local governments, including Tribal organizations, the opportunity to comment on the provision of services under the Plan at public hearings.](#)
- ☐ State/Territory agency responsible for implementing the Maternal and Child Home Visitation programs grant. Describe [The Arizona Department of Health Services administers the Maternal and Child Home Visitation Program and is a participating member of the Child Care Advisory Committee. The Child Care Administration Program Administrator is a member of the Maternal and Child Home Visitation Program Interagency Leadership Team. This venue provides the opportunity for discussion and input into the Plan, particularly related to coordination of professional development opportunities and referrals to home visiting programs.](#)
- ☐ Agency responsible for Medicaid/Early and Periodic Screening, Diagnostic and Treatment (EPSDT). Describe [In Arizona, Medicaid and Early Periodic Screening, Diagnosis and Treatment \(EPSDT\) services are part of the Arizona Health Care Cost Containment \(AHCCCS\) program. A representative from the AHCCCS program is participating on the Integration with Other Federal Programs committee. Additionally, the Arizona Department of Economic Security Arizona Early Intervention Program has current policies for coordinating accessing EPSDT screenings. This existing relationship will assist in ensuring parents of children eligible for Medicaid will, through the consumer education website and education of providers, have information and access to EPSDT services, when they have concerns about their child's development.](#)

- ❑ McKinney-Vento State coordinators for Homeless Education. Describe [The McKinney-Vento State Coordinator for the Arizona Department of Education is a member of the Integration with Other Federal Programs CCDBG workgroup.](#)
- ❑ State/Territory agency responsible for public health. Describe [The Arizona Department of Health Services is the state agency responsible for public health and is a participating member of the Child Care Advisory Committee. Arizona Department of Health Services has also assisted in developing key sections the Plan, particularly in the area of; Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings, and Recruit and Retain a Qualified and Effective Workforce. The Arizona Department of Health Services participates in the Emergency Preparedness CCDBG workgroup, which is developing the Statewide Emergency Preparedness Plan that will ensure continuity of child care services during an emergency.](#)
- ❑ State/Territory agency responsible for mental health. Describe [The Arizona Department of Health Services is the state agency responsible for mental health, and has also assisted in developing sections the Plan, particularly in the area of Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings, and Recruit and Retain a Qualified and Effective Workforce, as well as developing the Statewide Emergency Preparedness Plan.](#)
- ❑ State/Territory agency responsible for child welfare. Describe [In Arizona, child welfare programs are administered by the Arizona Department of Child Safety \(DCS\) which oversees various programs including child protective services, foster care, and adoptions. The CCDF Lead Agency is responsible for the planning and policy of the CCDF and the day-to-day operation of child care programs, which will provide services to families involved with, and/or receiving services from DCS. The Lead Agency seeks input from DCS on the development of the Plan through regular ongoing interagency collaboration.](#)
- ❑ State/Territory liaison for military child care programs. Describe [Arizona participates in the Department of Defense Military Child Care Liaison Project. The Lead Agency has consulted with the Military Child Care Liaison assigned to Arizona to assist in identifying current state efforts, priorities, and quality initiatives that impact the ability of military families to access high quality off-installation child care services in their communities. The Lead Agency will collaborate with the Military Child Care Liaison to coordinate efforts in the planning and development of priorities and quality initiatives of mutual interest. The goals of collaboration are to increase awareness of the child care needs of military families; align plans, goals and priorities of mutual interest; strengthen the quality of child care in the community and the professional development system; improve licensing requirements and efficient/effective oversight; and increase access to affordable, high quality, child care for military families in their community.](#)

- ☐ State/Territory agency responsible for employment services/workforce development. Describe In Arizona, the Department of Economic Security is the Lead Agency responsible for administration of employment services/workforce development through the Division of Employment and Rehabilitation Services of which the Child Care Administration is a component. Also within this Division are the Rehabilitation Services Administration and the Employment Administration, which consists of the employment and training services that support and assist both TANF and non-TANF individuals in securing and maintaining employment. Consultation within the Division is achieved through shared communication and identification of issues that relate to the provision of child care services to families that are receiving other services from the respective Division Administrations. A representative from the Employment Administration is a member of the Integration with Other Federal Programs CCDBG workgroup.
- ☐ State/Territory agency responsible for Temporary Assistance for Needy Families (TANF). Describe The Arizona Department of Economic Security is the Lead Agency responsible for administration of the TANF program through the Division of Benefits & Medical Eligibility, which oversees two administrations with varying responsibilities to support the Agency mission to promote the safety, well-being, and self-sufficiency of children, adults, and families. The Child Care Administration is responsible for the planning and policy of the CCDF and the day-to-day operation of child care programs, which will provide services to cash assistance recipients and other eligible families. The Child Care Administration seeks input from the TANF lead agency on the development of the Plan through regular ongoing internal communications. Furthermore, the Family Assistance Administration, a component of the TANF lead agency, is participating in the Integration with Other Federal Programs CCDBG workgroup.
- ☐ State/community agencies serving refugee or immigrant families. Describe _____
 Child care resource and referral agencies. Describe Arizona's Child Care Resource & Referral service provides consumer education and is funded by the CCDF Lead Agency. In addition, the CCR&R is represented on the Child Care Advisory Committee and is participating in the Consumer Education CCDBG workgroup facilitated by the CCDF Lead Agency. The primary objective of this workgroup is to determine how to coordinate the dissemination of information that is already available in existing formats, and to develop strategies for further coordination and dissemination of information, including the development of a website for this purpose. The CCR&R has also assisted in drafting and reviewing sections the Plan, particularly in the area of Consumer Education.
- ☐ Provider groups or associations. Describe Representatives from the Arizona Child Care Association are participating members of the Child Care Advisory Committee. The Arizona Child Care Association represents private, licensed child care centers statewide, promotes affordable, quality early care and education that meets the needs of Arizona's

families and children. Members of the Arizona Child Care Association participate in the Expulsion Policy/Social-Emotional CCDBG workgroup that is drafting statewide policies and procedures for reducing expulsions. The Association also participates in the Integration with Other Federal Programs CCDBG workgroup facilitated by the Lead Agency. Additionally, the Arizona Family Childcare Association is represented and participates on the Child Care Advisory Committee. The Arizona Family Childcare Association represents family child care providers throughout Arizona, providing support and mentoring that promotes high quality care for all children.

- ☐ Worker organizations. Describe _____
- ☐ Parent groups or organizations. Describe _____

Other. Describe Through participation in local and statewide committees and boards, the CCDF Lead Agency consults with representatives of local governments who serve in various capacities. For example, the Child Care Administration Program Administrator is a Governor Appointed member of the Interagency Coordinating Council for Infants and Toddlers with Developmental Delays or Disabilities and a member of the Arizona Department of Health Services Maternal Infant and Child Home Visiting Interagency Leadership Team. These existing forums provide an additional opportunity to involve stakeholders, including parents who have children with disabilities, in the development of the Plan.

Through their participation in the Child Care Advisory Committee, the Lead Agency works with the Arizona Center for Afterschool Excellence, a private, not-for-profit organization whose mission is to improve access to high quality, extended learning opportunities for all Arizona children and youth through professional development, advocacy, and community capacity building. The Arizona Center for Afterschool Excellence has been an active participant in the Expulsion Policy/Social-Emotional CCDBG workgroup that is developing statewide policies and procedures for reducing expulsions. This organization has also provided input and feedback into suggestions for age appropriate group size.

BUILD is national organization that provides resources and technical assistance to support states in building early childhood systems. BUILD AZ is an alliance of 50 cross-sector partners statewide who are working together to give every Arizona child a great start in life. One of the key priorities for BUILD AZ is improving access to affordable, quality child care. The Lead Agency participates as a non-voting member of the Leadership Team that helps to set the priorities and direction of the BUILD AZ work. In addition, the Lead Agency participates on the CCDBG Task Force, whose primary focus over the past several months has been to explore how Arizona can implement the CCDBG Act, and raise the quality floor of child care in Arizona. This task force is also comprised of representatives from other state agencies who deliver early childhood services,

[community based service providers, child care providers, professional organizations and advocates from the early childhood community.](#)

- 1.3.2** Describe the Statewide/Territory-wide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan (658D(b)(1)(C)). Lead Agencies are required to hold at least one public hearing in the State/Territory with sufficient State/Territory-wide distribution of notice prior to such hearing to provide the public an opportunity to comment on the provision of child care services under the CCDF Plan. At a minimum, this description must include:
- a) Date(s) of notice of public hearings to be held [January 26 through February 4, 2016](#) **Reminder** - [Must be at least 20 calendar days prior to the date of the public hearing.](#)
 - b) How was the public notified about the public hearing, including how notice was accessible for people with disabilities? Please include website links if utilized to provide notice. [Copies of the formal notice of public hearing were mailed or emailed to members of the Arizona Department of Economic Security Child Care Advisory Committee. In addition, the notice of public hearing was emailed to all contracted child care providers, and posted on the Lead Agency website.](#)
 - c) Date(s) of public hearing(s) [January 26 through February 4, 2016](#) **Reminder** - [Must be no earlier than September 1, 2015 which is 9 months prior to the June 1, 2016 effective date of the Plan.](#)
 - d) Hearing site(s) or method(s), including how geographic regions of the State/Territory were addressed [Hearings were held in Phoenix, Arizona, and in Tucson, Arizona.](#)
 - e) Describe how the content of the Plan was made available to the public in advance of the public hearing(s) [The draft Plan was made available on the Lead Agency website meeting ADA standards, and copies were made available for review at all District Child Care Administration offices. In addition, the Lead Agency created an email address CCDFStatePlan@azdes.gov as an additional means of communication for the public to send in comments. The mailbox is monitored Mondays through Saturdays.](#)
 - f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? [All information provided by the public was captured and considered for possible impacts and implementation based on current statutory language and available funding. Additionally, any factual errors, confusing language, or other reasonable edits suggested in the public hearings were corrected or clarified.](#)
- 1.3.3** Describe the strategies used by the Lead Agency to make the CCDF Plan and Plan Amendments available to the public. Check all that apply and describe the strategies below, including any relevant links as examples.

- ☐ Working with advisory committees. Describe [Copies of the formal notice of public hearing were mailed or emailed to members of the Arizona Department of Economic Security Child Care Advisory Committee. Notifications of Future Plan Amendments will be sent to Committee members in the same manner as the notice of public hearings.](#)
- ☐ Working with child care resource and referral agencies. Describe _____
- ☐ Providing translation in other languages. Describe _____
- ☐ Making available on the Lead Agency website. List the website <https://des.az.gov/services/basic-needs/child-care-home>
- ☐ Sharing through social media (Twitter, Facebook, Instagram, email, etc.). Describe [The Lead Agency Public Information Office submits posts to Facebook.](#)
- g) Providing notification to stakeholders (e.g., provider groups, parent groups). Describe [Copies of the formal Notice of Public Hearing were mailed or emailed to other parties such as Tribal and local units of government, members of the Child Care Advisory Committee, BUILD, and other groups that may have an interest in child care. Notifications of Future Plan Amendments will be sent to stakeholders in the same manner as the Notice of Public Hearings.](#)
- ☐ Other. Describe _____

1.4 Coordination with Partners to Expand Accessibility and Continuity of Care

The CCDBG Act of 2014 added a requirement that the Plan describe how the State/Territory will efficiently, and to the extent practicable, coordinate child care services supported by CCDF with programs operating at the Federal, State/Territory, and local levels for children in the programs listed below.

- 1.4.1** Check who and describe how your State/Territory coordinates or plans to efficiently coordinate child care services with the following programs to expand accessibility and continuity of care, and assist children enrolled in early childhood programs to receive full-day services that meet the needs of working families. (658E(c)(2)(O)) Please describe the goals of this coordination, such as extending the day or year of services for families; smoothing transitions for children between programs or as they age into school, enhancing and aligning quality of services, linking comprehensive services to children in child care settings or developing supply of quality care for vulnerable populations. NOTE that this list appears similar to the list provided in 1.3.1 which focused on consultation for purposes of developing the CCDF Plan, however, this list includes entities required by law, along with a list of optional CCDF Plan coordination partners that Lead Agencies potentially would coordinate with over the next 3 years to expand accessibility and continuity of care, and assist children enrolled in early childhood programs to receive full-day services. Check and describe all that apply.

- [REQUIRED] Programs operating at the Federal, State and local levels for children in pre-school programs (e.g., state-or locally-funded pre-k, Head Start, school-based programs, public and private preschools, programs serving preschool children receiving special education services, etc.). Describe [The Arizona Department of Economic Security Child Care Advisory Committee is the primary vehicle for coordinating with representatives of general-purpose local government. For issues related to ongoing service delivery, the Lead Agency meets with the Child Care Advisory Committee, which typically meets every quarter. The Child Care Advisory Committee includes individuals that represent statewide organizations with local affiliations, tribes, cities, and councils of governments that administer federal early childhood services. Additional representation of this Committee includes: local governments; other federal, state, local, tribal and private agencies providing childcare and early childhood development services such as; Head Start programs; resource and referral agencies; child welfare advocacy groups; tribal organizations; family childcare providers; human service advocacy organizations; employer supported childcare programs; Child and Adult Care Food Program sponsors; parents and consumers; school boards; before and after school programs; public school childcare programs; business groups; sectarian organizations and childcare programs; Child Development Associate programs; and organizations that accredit childcare programs. Also participating in this Committee are representatives from state agencies including, the Arizona Early Childhood Development and Health Board \(First Things First\), the Governor’s Office for Children, Youth and Families, the Arizona Department of Education and the Arizona Department of Health Services. The Governor’s Office for Children, Youth and Families includes the Division for Community and Youth Development, Division for Children, Division for Women, and the Division for Substance Abuse and Prevention. The Arizona Department of Education administers Preschool Handicapped, Title I, and the Child and Adult Care Food Programs. The Arizona Department of Health Services administers the Bureau of Child Care Licensure, Behavioral Health Services, and the Office of Women and Children’s Health.](#)
- [Members of the Child Care Advisory Committee are provided with information pertaining to child care subsidy caseload and cost of care, issues regarding service delivery and any other available information that affects early care and education programs throughout Arizona. Committee members provide recommendations to the Lead Agency on programs and activities and services to improve the quality and availability of child care, which are funded using CCDF Quality funds and Set-Asides.](#)
- [In addition to the standing committees and ongoing interagency communications referenced above, The Lead Agency has convened interagency CCDBG workgroups to assist in further development of the major objectives of the State Plan. These workgroups consist of representation from First Things First, the Arizona Department of](#)

Education, the Arizona Department of Health Services, Arizona Child Care Resource and Referral, and other Child Care Advisory Committee members. The purpose of the CCDBG workgroups is to develop coordinated and effective approaches to achieve required State Plan objectives in four areas:

- Expulsion Policy/Social-Emotional Development;
- Emergency Preparedness & Response;
- Consumer Education/Parental Engagement; and
- Integration with other Federal Programs.

- ☐ [REQUIRED, IF APPLICABLE] Tribal early childhood programs. Describe, including which Tribe(s) coordinating with The Inter Tribal Council of Arizona, Inc. (ITCA), is represented on the Child Care Advisory Committee. The purpose of the ITCA is to provide their 21 member tribes with the means for action on matters that affect them collectively and individually, to promote Tribal sovereignty and to strengthen Tribal governments. The members of the ITCA are; Ak-Chin Indian Community, Cocopah Indian Tribe, Colorado River Indian Tribes, Fort McDowell Yavapai Nation, Fort Mohave Indian Tribe, Gila River Indian Community, Havasupai Tribe, Hopi Tribe, Hualapai Tribe, Kaibab Band of Paiute Indians, Pascua Yaqui Tribe, Pueblo of Zuni, Quechan Tribe, Salt River Pima-Maricopa Indian Community, San Carlos Apache Tribe, San Juan Southern Paiute, Tohono O’odham Nation, Tonto Apache Tribe, White Mountain Apache Tribe, Yavapai-Apache Nation and the Yavapai-Prescott Indian Tribe.

The Lead Agency also meets as needed with individual representatives of Tribal CCDF, Tribal TANF and Tribal employment programs in order to discuss child care issues and needs. In addition to having tribal representation on the Child Care Advisory Committee, the Lead Agency participates in, and funds the Tribal Early Childhood Working Group that has been established at the request of the tribes and is facilitated by ITCA. This group meets quarterly and membership includes representatives from Indian Nations and reservations in Arizona, who are directly involved in the administration and development of early childhood services and child care programs. The working group has adopted a set of guidelines identifying the improvement of coordination and quality child care as two of its goals. The Arizona Department of Economic Security uses this forum to communicate with Tribal child care and CCDF grantees to discuss issues and needs, provide technical assistance as requested and to explore and coordinate possible mechanisms that would enhance service delivery as described in both State and Tribal CCDF Plans.

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

[REQUIRED] Other Federal, State, local early childhood programs serving infants and toddlers with disabilities. Describe [In Arizona, the Department of Economic Security, Arizona Early Intervention Program \(AzEIP\) is the lead agency for the Individuals with Disabilities Education Act, Part C and administers a statewide system of supports and services for families of infants and toddlers, birth to three years of age, with disabilities or delays.](#)

[AzEIP is required, to the extent possible, to provide early intervention services and supports in the child's natural environment. If determined by the Individualized Family Service Plan, of which the parent is a member, the child may receive services within the child care setting to support the child's participation and engagement in the child care routines and activities. AzEIP utilizes a team-based approach to provide services. Every family is assigned to a team and one member of the team is identified as the team lead. The team lead becomes the primary provider of services. The team lead, utilizing coaching practices, assists the parent or caregiver in supporting the child's development and participation in daily routines. When a team lead provides services in a child care setting, the child care provider is the primary recipient of the support. As a result, the caregiver develops the confidence and competence to support the child's learning and development throughout the day, which supports the child's successful participation and continuity in the child care setting, which then supports the parent's ability to maintain continuous employment, job training and/or education. The added benefit is that the caregiver gains knowledge and skills to better support other children's learning and development.](#)

[Finally, AzEIP utilizes a capacity building approach to assist parents in identifying and accessing needed resources, which may include child care assistance to support the parent to work, go to school, or participate in employment training. The early intervention provider, using a capacity building approach, assists the parent in identifying and accessing a high quality child care setting to support their child's health and development. The goal of this coordination is to ensure parents of infants and toddlers are connected with resources to support their employment, education or job training and to access high quality child care for their infant or toddler with disabilities.](#)

[Additionally, continued participation in the CCDBG workgroups to assist in further development of the objectives of the Plan provides additional opportunities to support the continuity of child care for infants and toddlers with disabilities. AzEIP representatives participate in three of the four CCDBG workgroups: Expulsion Policy/Social-Emotional Development; Consumer Education and Integration with Other Federal Programs.](#)

- ☐ [REQUIRED] Early childhood programs serving homeless children (as defined by the McKinney-Vento Homeless Education Assistance Act). Describe [Child care for children residing in Homeless or Domestic Violence Shelters is available via contract to licensed child care programs operating in Homeless or Domestic Violence shelters. The fund is inclusive of](#)

all costs associated with the delivery of this service, which includes training of teachers and other staff and obtaining and retaining national accreditation or the Quality First Star Rating in the quality level for the child care program. Through these contracts, the Arizona Department of Economic Security is able to work with the contractors who provide child care for children and assist their parents or guardians in attaining necessary life-skill training and obtaining employment to become self-sufficient. The Child Care Administration eligibility specialists screen for homelessness during the eligibility determination process in order to appropriately refer homeless families to shelters with onsite child care programs and to determine eligibility and authorize services to accommodate shelter directed activities.

- ☐ [REQUIRED] Early childhood programs serving children in foster care. Describe In Arizona, children involved with the Department of Child Safety (DCS) receive priority for CCDF funded child care services and are served via direct referral from the DCS case manager to the Lead Agency. When funding becomes limited, DCS children are not subject to the Priority Waiting List. The Child Care Administration eligibility workers facilitate the transition from DCS child care for foster children to the appropriate child care eligibility category when the DCS case closes.
- ☐ State/Territory agency responsible for child care licensing. Describe The Arizona Department of Health Services coordinates with the Lead Agency in developing procedures for conducting background checks for licensed providers that serve CCDF children. Representatives also participate in the Arizona Department of Economic Security Child Care Advisory Committee, and are members of the Emergency Preparedness CCDBG workgroup that is developing the Statewide Emergency Preparedness Plan that will ensure continuity of child care services during an emergency.
- ☐ State/Territory agency with Head Start State collaboration grant. Describe _____
- ☐ State Advisory Council authorized by the Head Start Act. Describe The Lead Agency partners with the Arizona Early Childhood Development and Health Board (First Things First) in assisting child care providers in Arizona to improve the quality of child care and to provide supports for professional development of the child care workforce caring for CCDF eligible children.
- ☐ State/Territory/local agencies with Early Head Start-Child Care Partnerships grants. Describe _____
- ☐ McKinney-Vento State coordinators for Homeless Education or local educational agency McKinney-Vento liaisons. Describe _____
- ☐ Child care resource and referral agencies. Describe The Lead Agency funds the statewide Child Care Resource and Referral (CCR&R) system. CCR&R disseminates information to enable parents to identify the most important quality indicators of child care programs, tracks the accreditation status of providers, and also has developed a checklist for parents to use when assessing child care programs according to quality indicators.

[CCR&R's website also links to the First Things First website and directs parents to Quality First information.](#)

- ☐ State/Territory agency responsible for public education. Describe [Through communication with representatives from the Arizona Department of Education, the Lead Agency receives and shares information regarding programmatic issues, the status of pre-kindergarten programs and grants.](#)
- ☐ State/Territory institutions for higher education, including community colleges. Describe _____
- ☐ State/Territory agency responsible for Child and Adult Care Food Program (CACFP). Describe [The Child Care Administration and CACFP representatives meet and communicate regularly to share information regarding child care providers that are involved with both the CACFP and are contracted/certified to provide child care services to CCDF eligible children, ensuring that family child care homes certified by the Lead Agency participate in the CACFP.](#)
- ☐ State/Territory agency responsible for WIC, nutrition (including breast-feeding support), and childhood obesity prevention. Describe _____
- ☐ Other Federal, State, local and/or private agencies providing early childhood and school-age/youth serving developmental services. Describe _____
- ☐ State/Territory agency responsible for implementing the Maternal and Childhood Home Visitation programs grant. Describe _____

Agency responsible for Medicaid/Early and Periodic Screening, Diagnostic and Treatment (EPSDT). Describe [The Arizona Department of Economic Security website at \[www.azdes.gov\]\(http://www.azdes.gov\) provides extensive information and an online application for medical assistance via the Arizona Health Care Cost Containment System. The online application features access to the Early and Periodic Screening, Diagnosis, and Treatment \(or EPSDT\).](#)

- ☐ State/Territory agency responsible for public health. Describe _____
- ☐ State/Territory agency responsible for mental health. Describe _____
- ☐ State/Territory agency responsible for child welfare. Describe [In Arizona, child welfare programs are administered by the Arizona Department of Child Safety \(DCS\) which oversees various programs including child protective services, foster care and adoptions. The Child Care Administration communicates and works closely with DCS on a regular basis to resolve issues such as developing, implementing and enhancing referral processes to ensure families referred for services have timely and accurate child care authorizations. Representatives from DCS and members of the Child Care Advisory Committee work to improve the lines of communication and increase understanding of issues that affect individual child care providers that care for children who are involved in the child welfare system.](#)
- ☐ State/Territory liaison for military child care programs. Describe [The Lead Agency communicates and coordinates with military child care programs on an as needed case-](#)

by-case basis. This may occur at the local level at which the military program is geographically situated. Working with military child care representatives has resulted in Arizona Department of Economic Security eligible families being able to use family child care homes approved by military child care programs.

- State/Territory agency responsible for employment services/workforce development. Describe The Child Care Administration is an Administration within the Arizona Department of Economic Security's Division of Employment and Rehabilitation Services (Division). Also housed in this Division are the Rehabilitation Services Administration, Unemployment Insurance, and the Employment Administration, which consists of the employment and training services that support and assist TANF and non-TANF individuals to secure and maintain employment. Coordination within the Division has resulted in shared communication and identification of issues that relate to the provision of child care services to families that are receiving other services from the Division Administrations. Coordination with Employment and Workforce Development services and TANF eligibility is handled internally through policies and procedures developed specifically to ensure that appropriate child care services are provided for TANF recipients. Coordination of employment and child care services ensures that TANF recipients have needed supports to achieve independence from TANF, and that former TANF recipients can obtain and retain employment, and avoid returning to welfare.
- State/Territory agency responsible for Temporary Assistance for Needy Families (TANF). Describe The Arizona Department of Economic Security is the lead agency responsible for administration of the TANF program and employment services/workforce development. The Child Care Administration is responsible for the planning and policy of the CCDF and the day-to-day operation of child care programs, which will provide services to TANF cash assistance recipients and other families eligible for services. Enhanced data sharing between these programs automated systems reduces errors, promotes accuracy in determining TANF related child care eligibility, and reduces redundant verification efforts for mutual clientele. Coordination with the TANF program via automated interfaces also maximizes TANF child care utilization for eligible families, and may reduce welfare recidivism by ensuring that employed former TANF recipients can receive child care services without being placed on the Priority Waiting List.
- State/Territory community agencies serving refugee or immigrant families. Describe The Arizona Department of Economic Security is the lead agency responsible for administration of the Refugee Resettlement Program. Coordination between the Refugee Resettlement Program and the Child Care Administration has resulted in shared communication, identification and resolution of issues related to the provision of child care services to refugee families.

- ☐ Provider groups or associations. Describe [Both the Arizona Child Care Association, which represents private, licensed child care centers statewide and the Arizona Family Childcare Association, participate in the Arizona Department of Economic Security Child Care Advisory Committee. In addition, both of these organizations communicate with the Lead Agency on a regular basis to share ideas, concerns and expertise on issues that impact the delivery of child care services provided in Arizona.](#)
- ☐ Worker organizations. Describe _____
- ☐ Parent groups or organizations. Describe _____

Other. Describe [The Arizona Department of Economic Security Child Care Administration is involved in activities and efforts throughout the state. This includes working with local groups such as: the KARE Family Center in Pima County; City of Tucson; One Stop offices; United Way groups; West Valley Human Services Alliance, which includes the cities of Peoria, Surprise, Glendale, Avondale and Buckeye as well as community organizations such as WIC, Arizonans for the Protection of Exploited Children, Arizona Bridge to Recovery; United Methodist Outreach Ministries and the Maricopa Association of Governments.](#)

[The Child Care Administration also participates in a data sharing committee. This committee is made up of representatives from the Arizona Department of Education, Arizona Department of Economic Security, Arizona Early Childhood Development and Health Board \(First Things First\) and the Arizona Department of Health Services. Results of these coordination efforts include: better coordination of service delivery, development of collaborative initiatives and sharing of information on child care issues and needs; improvement of services provided to grandparents; implementing child care assistance for One Stop customers entering employment training; and, collaboration focusing on all aspects of child care, including provision, literacy, health and advocacy. The committee's work is directed toward achieving a greater degree of consumer protection and improved quality of child care services through interagency communication, coordination and consistency.](#)

[The Child Care Administration also participates on the BUILD Professional Development Work Group, which is the advisory committee to the Arizona Early Childhood Career and Professional Development Network. The Network supports the professional development of the early childhood workforce.](#)

1.5 Optional Use of Combined Funds

The CCDBG Act of 2014 added a provision that States and Territories have the option to combine funding for CCDF child care services with funding for any of the required programs listed in 1.4.1. These include programs operating at the Federal, State and local levels for children in preschool programs, tribal early childhood programs, and other early childhood programs, including those

serving infants and toddlers with disabilities, homeless children, and children in foster care. (658E(c)(2)(O))(ii)) Combining funds could include blending multiple funding streams, pooling funds, or layering funds together from multiple funding streams in an effort to expand and/or enhance services for children and families to allow for delivery of comprehensive high quality care that meets the needs of children and families. For example, State/Territory agencies may use multiple funding sources to offer grants or contracts to programs to deliver services; a State/Territory may allow county/local government to use coordinated funding streams; or policies may be in place that allow local programs to layer CCDF funds with additional funding sources to pay for full-day, full-year child care that meets Early Head Start/Head Start or State/Territory pre-kindergarten requirements in addition to State/Territory child care licensing requirements. As a reminder, per the OMB Compliance Supplement governing audits (https://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2014), CCDF funds may be used in collaborative efforts with Head Start (CFDA 93.600) programs to provide comprehensive child care and development services for children who are eligible for both programs. In fact, the coordination and collaboration between Head Start and the CCDF is mandated by sections 640(g)(2)(D) and (E), and 642(c) of the Head Start Act (42 USC 9835(g)(2)(D) and (E); 42 USC 9837(c)) in the provision of full working day, full calendar year comprehensive services (42 USC 9835(a)(5)(v)). In order to implement such collaborative programs, which share, for example, space, equipment or materials, grantees may blend several funding streams so that seamless services are provided.

1.5.1 Will you combine CCDF funds with the funds for any program with which you coordinate (described in 1.4.1)?

☐ Yes. If yes, describe at a minimum:

- ☐ How do you define “combine” _____
- ☐ Which funds will you combine _____
- ☐ Goal(s) of combining funds (why?) and expected outcomes, such as extending the day or year of services available (i.e., full-day, full-year programming for working families), smoothing transitions for children, enhancing and aligning quality of services, linking comprehensive services to children in child care or developing the supply of child care for vulnerable populations _____
- ☐ Method of fund allocation (how you will be combining multiple sets of funding, such as at the State/Territory level, local level, program level?) _____
- ☐ How are the funds tracked and method of oversight _____

☒ No

1.6 Public-Private Partnerships

The CCDBG Act of 2014 adds a new provision that requires States and Territories to describe in the Plan how the State/Territory encourages partnerships among State/Territory and public agencies, tribal organizations, private entities, faith based organizations and/or community-based organizations to leverage existing service delivery systems for child care and development services

and to increase the supply and quality of child care services for children through age 12, such as by implementing voluntary shared services alliance models (i.e., cooperative agreement among providers to pool resources to pay for shared fixed costs and operation). (658E(c)(2)(P)) ACF expects these types of partnerships to leverage public and private resources to further the goals of reauthorization.

Describe the entities with whom and the levels at which the State/Territory is partnering (level – State/Territory, county/local, and/or programs), the goals of the partnerships, method of partnering. Include in your description examples of activities that have resulted from partnerships with other State/Territory and public agencies, tribal organizations, private entities, faith based organizations or community-based organizations, and how the partnerships are expected to leverage existing service delivery systems for child care and development services and to increase the supply and quality of child care services. [The CCDF Lead Agency is engaging with state and local community programs to build upon and leverage existing resources to increase the availability, affordability and quality of child care and to actively promote public/private partnerships to continue these efforts. The Department intends to maintain such efforts, and to continue to support and encourage public/private collaborations at a state, regional and local level. The following information describes ongoing or planned partnerships in Arizona and their impact on meeting child care needs:](#)

[BUILD is national organization that provides resources and technical assistance to support states in building early childhood systems. BUILD AZ is an alliance of 50 cross-sector partners statewide who are working together to give every Arizona child a great start in life. One of the key priorities for BUILD AZ is improving access to affordable, quality child care. BUILD brings together three key stakeholder groups: early childhood experts, business and community leaders, and government officials who serve as non-voting members and technical advisors. BUILD AZ experts and influencers work together to develop and communicate impactful messages and recommendations to support change in early childhood programs and policies. The CCDF Lead Agency participates as a non-voting member of the Leadership Team that helps to set the priorities and direction of the BUILD AZ work. In addition, the CCDF Lead Agency participates on the CCDBG Task Force, whose primary focus over the past several months has been to explore how Arizona can implement the CCDBG Act, and raise the quality floor of child care in Arizona. This task force is also comprised of representatives from other state agencies who deliver early childhood services, community based service providers, child care providers, professional organizations and advocates from the early childhood community.](#)

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

States and Territories may use funds to establish or support a system of local or regional child care resource and referral organizations (CCR&R) 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 (also see section 7.4). If they do, the law identifies specific requirements for that entity or system receiving CCDF funds. (658E(c)(3)(B)(iii)) These include:

- Provide families with information on a full range of child care options (including faith-based, community-based child care centers and family child care homes, nontraditional hours and emergency child care centers) in their local area or region
- To the extent practicable, work directly with families who receive child care assistance to offer the families support and assistance in making an informed decision about child care options in an effort to ensure families are enrolling their children in the most appropriate child care setting to suit their needs and that is of high quality as determined by the State/Territory
- Collect data and provide information on the coordination of services and supports, including services provided through the Individuals with Disabilities Education Act for children with disabilities
- Collect data and provide information on the supply of and demand for child care services in local areas or regions of the State/Territory and submit such information to the State/Territory
- Work to establish partnerships with public agencies and private entities, including faith-based and community-based child care centers and family child care homes providers, to increase the supply and quality of child care services in the State/Territory
- As appropriate, coordinate their activities with the activities of the Lead Agency and/or local agencies that administer CCDF.

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

1.7.1 Does the State/Territory fund a system of local or regional CCR&R organizations?

- ☐ Yes. ☒ The State/Territory funds a CCR&R system. See also related follow-up questions in Section 7.1 and 7.4. If yes,

Describe the State/Territory's written agreement or contract with the CCR&R, what services are provided through the CCR&R, and any other activities for which the State partners with the CCR&Rs. [The Arizona Department of Economic Security funds the statewide Child Care Resource and Referral organization. Child Care Resource & Referral \(CCR&R\) uses the NACCRRAware database to collect, maintain, and disseminate information about the full diversity of child care providers available to](#)

[families in Arizona; this information is shared through the Child Care Information Line, and on the CCR&R website. If any provider is participating in Arizona's voluntary Quality Improvement & Rating System, Quality First, this information is tracked and shared in their provider profile via the information line and the website. CCR&R also provides additional resources and information to callers and via the website about other such as Temporary Assistance for Needy Families, Head Start and Early Head Start, Low-Income Home Energy Assistance Program, Supplemental Nutrition Assistance Program, Women, Infants and Children program, Child and Adult Care Food Program, Medicaid and the State Children's Health Insurance Program for which families may also qualify, and Individuals with Disabilities Education Act programs and services.](#)

- ☐ No. The State/Territory does not fund a CCR&R system and has no plans to establish. Use section 7.4 to describe plans, if any, to establish a CCR&R system.

1.8 Disaster Preparedness and Response Plan

The CCDBG Act of 2014 added a requirement that States and Territories must include a Statewide Child Care Disaster Plan for coordination of activities with the State/Territory human services agency, emergency management agency, child care licensing agency, State/Territory local resource and referral agencies, and the State Advisory Council (SAC) or other state-designated cross-agency body if there is no SAC. (658E(c)(2)(U)) The Statewide Child Care Disaster Plan must include:

- Guidelines for continuing CCDF assistance and child care services after a disaster, which may include provision of temporary child care, and temporary operating standards for child care after a disaster.
- Requirements that child care providers receiving CCDF have in place procedures for evacuation, relocation, shelter-in-place, lock-down, communication and reunification with families, continuity of operations, accommodation of infants and toddlers, children with disabilities, and children with chronic medical conditions.
- Requirements that child care providers receiving CCDF have in place procedures for staff and volunteer emergency preparedness training and practice drills.

1.8.1 Describe the status of State/Territory's Statewide Child Care Disaster Plan.

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. If applicable, describe additional ways the State/Territory addresses the needs of children receiving CCDF before, during and after a disaster or emergency, not already incorporated into the Statewide Child Care Disaster Plan. If available, please provide a link to the disaster plan _____
- ☐ Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts

or tables here. Your responses here will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016) [September 30, 2016](#)
- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [Partially Implemented](#)

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

[The Arizona Department of Health Services has developed The Disaster Preparedness and Response Plan. The CCDF Lead Agency and interagency partners are working on further development and expansion of the plan to meet the objectives of CCDBG reauthorization.](#)

[Arizona Department of Health Services](#)

[The Arizona Department of Health Services has developed The Disaster Preparedness and Response Plan, including a workbook and manual for child care providers, and a six hour online “Disaster Emergency Evacuation Preparedness” \(D.E.E.P. training\); the plan can be viewed at <http://www.azdhs.gov/licensing/childcare-facilities/index.php#emergency-preparedness-home> . Recommended procedures have also been developed for facilities to utilize as they develop their own emergency plans including evacuation, relocation, shelter-in-place, lock-down, communication, reunification with families, continuity of operations, accommodation of infants and toddlers, children with disabilities and children with chronic medical conditions; the plan includes the following elements:](#)

- [The Emergency Disaster Contact Form is used to contact the Bureau before, during and after a disaster. Facilities document if they are willing to house children on temporary basis during a disaster.](#)
- [The Disaster Kit Brochure lists items that need to be gathered prior to an emergency.](#)
- [Center Evacuation Procedures contain several aspects of organizational needs during and after a disaster including an emergency evacuation plan, emergency numbers, names of parents and contact information.](#)
- [The Emergency Preparedness Checklist notes the assigned responsible staff member for various responsibilities, contact lists documenting information to have available including of children’s families, and recommends supplies such as flashlights, extra batteries, water, cups, formula for infants, tasks to accomplish such as electricity shut off, water shut off, etc.](#)
- [The Organizational Roles and Responsibilities and Staff Duties document helps identify and assign specific roles to the appropriate staff members who will be responsible for](#)

different activities during and after an emergency. The document assigns staff with what to prepare for prior to and during a disaster.

The Arizona Department of Health Services has developed The Disaster Preparedness and Response Plan, including a manual and workbook for providers and a six-hour online training module.

The Arizona Department of Economic Security, CCDF Lead Agency has developed an emergency plan for the continuation of Child Care Assistance which includes provision of temporary child care, and temporary operating standards for child care after a disaster (including standards of operation when access to automated systems is temporarily unavailable for communication to clients and providers, and authorization and payment functions in the automated system are temporarily unavailable). The plan is reviewed and updated on a routine basis.

- Unmet requirement - Identify the requirement(s) to be implemented The Arizona Department of Health Services has 'The Disaster Preparedness and Response Plan' in place currently, however, child care providers are not required to take the training or develop their own individual disaster preparedness plans utilizing the tools in the training. This will be addressed via training and through new contract requirements for CCDF providers and incorporated into Arizona's Statewide Child Care Disaster Plan. Currently, there is no requirement that child care providers receiving CCDF have procedures in place for staff and volunteer emergency preparedness training and practice drills; this will be addressed via training and new contract requirements for CCDF providers.
- o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
 - a. Identify additional disaster plan elements necessitated by CCDBG reauthorization;
 - b. Develop disaster plan elements, policies, and procedures (including any interagency agreements) in coordination with the Child Care Advisory committee/interagency partners;
 - c. Modify provider contracts and registration agreements to implement statewide disaster plan;
 - d. Train child care providers and eligibility staff and certification staff regarding their roles and responsibilities with respect to the statewide disaster plan;
 - e. Implement statewide disaster plan practice drills; and
 - f. Make the statewide disaster plan known to interagency partners, parents, providers, and the general public.
- o Projected start date for each activity

- a. [Identify additional disaster plan elements necessitated by CCDBG reauthorization: September 1, 2015;](#)
- b. [Develop disaster plan elements, policies, and procedures \(including any interagency agreements\): September 1, 2015;](#)
- c. [Modify provider contracts/registration agreements: October 1, 2015;](#)
- d. [Train child care providers and eligibility staff and certification staff : March 1, 2016;](#)
- e. [Implement disaster plan practice drills: September 30, 2016; and](#)
- f. [Disseminate disaster plan: September 30, 2016](#)
- o Projected end date for each activity
 - a. [Identify additional disaster plan elements necessitated by CCDBG reauthorization: December 31, 2015;](#)
 - b. [Develop disaster plan elements, policies, and procedures \(including any interagency agreements\): January 31, 2015](#)
 - c. [Finalize provider contracts/registration agreements: June 30, 2016;](#)
 - d. [Train child care providers and eligibility staff and certification staff: September 30, 2016;](#)
 - e. [Implement disaster plan practice drills: September 30, 2016; and](#)
 - f. [Disseminate disaster plan: September 30, 2016](#)
- o Agency – Who is responsible for complete implementation of this activity [Arizona Department of Economic Security](#)
- o Partners – Who is the responsible agency partnering with to complete implementation of this activity Arizona Department of Health Services
 - b) Develop statewide disaster plan, policies, and interagency agreements: [Arizona Department of Health Services, Arizona Department of Education, Child Care Resource & Referral \(CCR&R\), First Things First, the Inter Tribal Council of Arizona Inc., and members of the Child Care Advisory Committee](#)
 - c) Modify provider contracts: [Arizona Department of Economic Security;](#)
 - d) Train child care providers and eligibility staff: [Arizona Department of Economic Security; Child Care Resource & Referral \(CCR&R\)](#)
 - e) Implement Disaster Plan practice drills: [State agencies and community based partners; child care providers and families receiving CCDF](#)
 - f) Disseminate Disaster Plan: [Arizona Department of Economic Security on website; Child Care Resource & Referral \(CCR&R\) on website; Arizona](#)

2 Promote Family Engagement through Outreach and Consumer Education

Parents are their children's most important teacher and advocate. State and Territory child care systems interact with parents in multiple ways, therefore presenting many opportunities to engage and inform families. Child care providers can serve as convenient and trusted sources of information for parents and family members on child development and community supports and services. State/Territory and local child care assistance systems should be designed to promote seamless linkages to useful information and other child- and family-services, such as during subsidy intake and redetermination processes and when parents utilize child care resource and referral or QRIS agencies. Outreach and consumer education is an ongoing process and is expected to cover the entire age span covered by CCDF from birth through age 12.

The CCDBG Act of 2014 includes key purposes that address the role of parents as child care consumers who need information to make informed choices regarding the services that best suit their needs. A new purpose of CCDBG is to "promote involvement by parents and family members in the development of their children in child care settings." States and Territories have the opportunity to consider how information can be provided to parents through the child care assistance system, partner agencies, and child care sites that will support their role as their children's teacher and advocate. Key new provisions include:

1. The plan must certify that States and Territories will collect and disseminate consumer and provider education information to CCDF parents, providers, and the general public, including information about:
 - a) the availability of child care assistance,
 - b) the quality of child care providers (if available),
 - c) Other programs (specifically Temporary Assistance for Needy Families (TANF), Head Start and Early Head Start, Low-Income Home Energy Assistance Program (LIHEAP), Supplemental Nutrition Assistance Program (SNAP), Women, Infants and Children (WIC) program, Child and Adult Care Food Program (CACFP), Medicaid and State Children's Health Insurance Program (SCHIP)) for which families may also qualify.
 - d) Individuals with Disabilities Education Act (IDEA) programs and services,
 - e) Research and best practices in child development, and
 - f) State/Territory policies regarding social- emotional/behavioral and early childhood mental health of young children, which may include positive behavioral intervention and support models, and policies on the expulsion of preschool-aged children (children from birth to five for purposes of this requirement) from early childhood programs receiving CCDF.
2. Information related to the health and safety of children in child care settings. The plan must certify that the State/Territory will make public certain information about the results of health and safety

monitoring (described in section 5) using a website that is consumer-friendly and in an easily accessible format, including:

- a) Provider-specific information: 1) results of monitoring and inspection reports, including those due to major substantiated complaints; 2) last date of inspection; and 3) information on corrective actions taken (if applicable).
- b) Information about: 1) the annual number of deaths; 2) the annual number of serious injuries; and 3) annual number of incidences of substantiated child abuse in child care settings.
- c) State/Territory processes for: 1) licensing child care providers; 2) conducting background checks and the offenses that would keep a provider from being allowed to care for children; and 3) conducting monitoring and inspections of child care providers.

2.1 Information about Child Care Financial Assistance Program Availability and Application Process

Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for and potentially receive child care assistance services. (658E(c)(2)(E)(i)(1))

2.1.1 Describe how the State/Territory informs families of availability of services.

- a) How does the State/Territory identify populations and areas of potentially eligible families (e.g., using available federal, State/Territory and local needs assessments to identify potentially eligible families?) In addition to being the CCDF Lead Agency, the Department of Economic Security (Department) is also the TANF Lead Agency, which houses the Family Assistance Administration, the Jobs Administration, and interfaces with the Department of Child Safety (DCS). When families access the Department's services by applying for TANF Cash Assistance, by referral to Jobs services, or via investigation by the DCS (when there is a child protection issue), the need for child care assistance and other supports are assessed. The Child Care Administration interfaces with the Jobs Administration to enhance service accessibility for TANF Cash Assistance participants, Jobs participants engaged in work participation activities, and parents who are case managed via the DCS to address or prevent situations of child abuse and neglect. Jobs participants and children who have case managers through DCS, are referred directly from their respective agencies to the Child Care Administration for services. Further, the Department is also the Lead Agency for the IDEA, Part C program, which provides another linkage to families who may be in need of child care assistance for their child with developmental delays or disabilities. Child Care Resource and Referral (CCR&R) operates statewide and collects information and screens families regarding their income levels. Based on their responses and identified income categories, CCR&R will provide referrals to the Child Care Administration as a strategy to identify families who may be eligible for child care assistance.

The Child Care Resource and Referral (CCR&R) operates statewide and collects information and screens families regarding their income levels. Based on their responses and identified income categories, CCR&R will provide referrals to the Department of Economic Security (Department) as a strategy to identify families who may be eligible for child care assistance. The Department's Child Care Administration works with a variety of agencies and community organizations, using multiple methods, to ensure outreach efforts are widespread throughout the state. Availability of child care services is promoted via the CCR&R, the Arizona Early Childhood Development and Health Board (First Things First); as well as the Department's Family Assistance Administration (TANF Lead Agency) and the Arizona Early Intervention Program (IDEA, Part C Lead Agency). Outreach efforts are coordinated with the Arizona Department of Education, the Arizona Department of Child Safety, the Arizona Department of Health Services home visiting programs, Early Head Start/Head Start, Early Head Start-Child Care Partnerships, public schools, community based organizations, the IDEA, Part D, Parent Training and Information Center, contractors, and other government offices.

CCR&R oversee Resource & Referral Specialists who assist callers statewide through the Child Care Information Line to offer information to anyone who needs services about child care assistance, what information is needed to apply, where and how to access an application as well as information about their local Child Care Administration office where they can submit their application.

- b) What partners help with outreach? For example, child care resource and referral agencies, home visitors, pediatricians, faith-based services, State/Territory or local agencies and organizations or other familiar and safe access points serving vulnerable or low-income populations. The Department of Economic Security (Department) Child Care Administration works with a variety of agencies and community organizations, using multiple methods, to ensure outreach efforts are widespread throughout the state. Availability of child care services is promoted via the Child Care Resource & Referral (CCR&R), the Arizona Early Childhood Development and Health Board (First Things First); the Department's Family Assistance Administration (TANF Lead Agency), as well as the Arizona Early Intervention Program (IDEA, Part C Lead Agency), Arizona Department of Education, Department of Child Safety, Arizona Department of Health Services home visiting programs, Early Head Start/Head Start, Early Head Start-Child Care Partnerships, public schools, community based organizations, the IDEA, Part D, Parent Training and Information Center, contractors, and other government offices.

CCR&R oversee Resource & Referral Specialists who assist callers statewide through the Child Care Information Line to offer information to anyone who needs services about child care assistance, what information is needed to apply, where and how to access an

application as well as information about their local Child Care Administration office where they can submit their application.

- c) What outreach strategies does the Lead Agency use (e.g., media campaigns, State/Territory website, or other electronic outreach? The Department of Economic Security (Department) Child Care Administration uses a variety of outreach strategies including, but not limited to media campaigns, the Department website, brochures and other written materials, automated interfaces with the TANF Lead Agency (the Department's Family Assistance Administration); and the Department of Child Safety (for protective services families), and community outreach meetings, workshops and promotional materials.

The Department, through the Office of Professional Development and the Office of Community Engagement, employ additional outreach strategies, including client success stories, Facebook posts, and community events to inform parents, and the general public of the process by which parents can apply for and potentially receive child care assistance.

The Child Care Resource and Referral (CCR&R) website at <http://arizonachildcare.org/> also has links to the Department's website and directs parents where to apply for child care assistance. _____

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

- ☒ Electronically via online application, mobile app or email. Provide link <https://des.az.gov/services/basic-needs/child-care-home>
- ☒ In-person interview or orientation. Describe agencies where these may occur [Department of Economic Security, Child Care Assistance offices statewide](#)
- ☒ Phone
- ☒ Mail
- ☐ At the child care site
- ☐ At a child care resource and referral agency
- ☐ Through kiosks or online portals at related State/Territory/local agency or organization serving low-income populations. Describe _____
- ☐ Through a coordinated application process (e.g., application is linked to other benefits program to allow parents to apply for several programs at one time). Describe _____
- ☐ Other strategies. Describe _____

2.2 Consumer and Provider Education Information

The CCDBG Act of 2014 added a purpose of the child care program "to promote involvement by parents and family members in the development of their children in child care settings." (658A(b)(3)) The consumer education requirements address multiple topics that parents and family members need in order to make informed choices and act as their most important teacher and advocate. Lead

agencies must certify that they will collect and disseminate the following information through resource and referral agencies or other means. (658E(c)(2)(E))

2.2.1 The State/Territory certifies that it collects and disseminates the following information to parents, providers and the general public:

- Information about the availability of the full diversity of child care services that will promote informed child care choices,
- Availability of child care assistance,
- Quality of child care providers (if available),
- Other programs (specifically Temporary Assistance for Needy Families (TANF), Head Start and Early Head Start, Low-Income Home Energy Assistance Program (LIHEAP), Supplemental Nutrition Assistance Program (SNAP), Women, Infants and Children (WIC) program, Child and Adult Care Food Program (CACFP), Medicaid and State Children's Health Insurance Program (SCHIP)) for which families may also qualify,
- Individuals with Disabilities Education Act (IDEA) programs and services,
- Research and best practices in child development, including all domains of early childhood development, including social and emotional development, cognitive, and physical health and development (particularly healthy eating and physical activity), and meaningful parent and family engagement,
- State/Territory policies regarding the social-emotional/behavioral and early childhood mental health of young children, which may include positive behavioral intervention and support models, and policies on expulsion of preschool-aged children (children from birth to five for purposes of this requirement)) in early childhood programs receiving CCDF.

☐ Yes. The State/Territory certifies as of March 1, 2016 that it collects and disseminates the above information to parents, providers and the general public. Describe using 2.2.2 through 2.2.7 below.

☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016) [July 1, 2016](#)
- Overall Status – Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [substantially implemented](#)
 - o Implemented requirement(s) – Identify any requirement(s) [implemented to date if applicable](#)

The state currently collects and disseminates the following information to parents, providers and the general public, information about the following:

- Availability of the full diversity of child care services that will promote informed child care choices,
- Availability of child care assistance,
- Quality of child care providers (if available),
- Other programs, specifically Temporary Assistance for Needy Families (TANF), Head Start and Early Head Start, Low-Income Home Energy Assistance Program, Supplemental Nutrition Assistance Program, Women, Infants and Children program, Child and Adult Care Food Program (CACFP), Medicaid and State Children's Health Insurance Program (SCHIP) for which families may also qualify,
- Individuals with Disabilities Education Act (IDEA) programs and services,
- Research and best practices in child development, including all domains of early childhood development, including social and emotional development, cognitive, and physical health and development (particularly healthy eating and physical activity), and meaningful parent and family engagement.

The CCDF Lead Agency makes information to families, providers and the general public through the Lead Agency eligibility workers, the Lead Agency's website, and through intra agency coordination efforts within the Department of Economic Security (e.g., TANF, IDEA, Part C Early Intervention Program). Additionally, information is available through the State's Child Care Resource and Referral (CCR&R) system (e.g., website, direct communication with a Resource and Referral Specialist, written information), interagency efforts with Arizona Department of Education, Arizona Department of Health Services, Department of Child Safety, Arizona Health Care Cost Containment System (Medicaid), the Arizona Early Childhood Health and Development Board (First Things First), and linkages with other early childhood programs such as Early Head Start and Head Start, and home visiting programs through the Maternal, Infant, and Early Childhood Home Visiting program. Information is provided utilizing a variety of methods, including, but not limited to, direct contact with families, providers and the general public, through agency websites, and through the dissemination of user friendly written brochures and pamphlets.

Promoting the involvement by parents and family members in the development of their children in child care settings begins with the parents and family member's initial contact with the CCDF Lead Agency. To effectively support and strengthen the parent and family member's engagement in supporting their children's optimal healthy growth and development, and to help prevent child abuse and neglect, the

CCDF Lead Agency are in the process of completing the online Strengthening Families Framework training. In addition, when parents and their children come into the Child Care Administration offices to apply for subsidies, each child receives a book to read and to take home. In Maricopa County, the eligibility workers are providing information to parents about home visiting programs, and when families are interested, making direct referrals to the home visiting program. The eligibility workers are also distributing School Readiness kits to parents who have preschool aged children. These additional efforts to engage parents and family members so that they can make informed choices and act as their most important teacher and advocate, will be refined through the CCDF Lead Agency's Parent and Family Engagement policy that is listed in the Unmet requirement below.

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

1. Parent and family engagement policy including social-emotional/behavioral and early childhood mental health of young children policy

2. Expulsion policy

o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)

1. Parent and Family Engagement policy

- a. Develop Parent and Family Engagement policy including social-emotional/behavioral and early childhood mental health of young children
- b. Obtain stakeholder input from Child Care Advisory Committee, and the Interagency Coordinating Council for Infants and Toddlers with Disabilities;
- c. Train child care eligibility staff and Child Care Resource and Referral staff regarding their roles and responsibilities with respect to parent and family engagement;
- d. Implement parent and family engagement policy;
- e. Make parent and family engagement known to parents, providers, and the general public.

2. Expulsion Policy

- a. Develop expulsion policy in coordination with the Child Care Advisory committee;
- b. Modify provider contracts and registration agreements to implement expulsion policy;
- c. Train child care providers and eligibility staff regarding their roles and responsibilities with respect to including all children, completing surveillance

activities to support identification of development delays, available resources to support childcare programs to accommodate and modify the curriculum as appropriate to include children and the CCA expulsion policy;

d. Implement expulsion policy;

e. Make expulsion policy known to parents, providers, and the general public.

o Projected start date for each activity

1. Parent and Family Engagement Policy

a. Develop parent and family engagement policy including the social-emotional/behavioral and early childhood mental health of young children policy: April 1, 2016;

b. Stakeholder Input: May 1, 2016;

c. Train child care eligibility staff and Child Care Resource and Referral staff: July 1, 2016;

d. Implement parent and family engagement: September 30, 2016; and

e. Disseminate parent and family engagement: September 30, 2016

2. Expulsion Policy

a. Develop expulsion policy: November 1, 2015;

b. Modify provider contracts: November 1, 2015;

c. Train child care providers and eligibility staff: March 1, 2016;

d. Implement expulsion policy: July 1, 2016; and

e. Disseminate expulsion policy: September 30, 2016

o Projected end date for each activity

1. Parent and Family Engagement Policy

a. Develop parent and family engagement policy including social-emotional/behavioral and early childhood mental health of young children policy: June 30, 2016;

b. Stakeholder Input: May 31, 2016;

c. Train child care eligibility staff and CCR&R staff: September 30, 2016;

d. Implement policy: September 30, 2016;

e. Disseminate policy: September 30, 2016.

2. Expulsion Policy

a. Develop Expulsion Policy: January 31, 2016;

b. Modify provider contracts: January 31, 2016;

c. Train child care providers and eligibility staff: June 30, 2016;

d. Implement Expulsion Policy: September 30, 2016;

e. Disseminate Expulsion Policy: September 30, 2016.

- o Agency – Who is responsible for complete implementation of this activity [Department of Economic Security, Child Care Administration](#)
- o
- o Partners – Who is the responsible agency partnering with to complete implementation of this activity
 - a. [Develop expulsion policy: Arizona Early Intervention Program \(AzEIP\), Arizona Department of Education \(ADE\), First Things First, and members of the Child Care Advisory Committee](#)
 - b. [Modify provider contracts: Department of Economic Security;](#)
 - c. [Train child care providers and eligibility staff: Department of Economic Security;](#)
 - d. [Implement expulsion policy: State agencies and community based partners;](#)
 - e. [Disseminate expulsion policy: Department of Economic Security on the Department’s website and Child Care Resource and Referral \(CCR&R\) website.](#)

2.2.2 Describe how the State/Territory makes information available about the full diversity of child care services that will promote informed child care choices, including consumer-friendly strategies such as materials that are culturally responsive and in multiple languages as needed that reflect the literacy levels of consumers, and are easy to access, including accessible to persons with disabilities.

- a) Describe how the State/Territory makes information about the full diversity of child care services available to 1) parents of eligible children, 2) providers and 3) the general public _____
- b) Describe what you provide and how (i.e., methods such as written materials, direct communication, etc.) _____
- c) Describe who you partner with to make information about the full diversity of child care choices available _____

2.2.3 Describe how the State/Territory makes information about the quality (such as through a quality rating and improvement system, if available, nationally-recognized accreditation, or other means) of child care services available to the public, including consumer-friendly strategies such as messages that are designed to engage intended audiences and are easy to understand

- a) Describe how the State/Territory makes information about child care quality available to 1) parents of eligible children, 2) providers and 3) the general public _____
- b) Describe what you provide and how (i.e., methods such as written materials, direct communication, etc.) _____
- c) Describe who you partner with to make information about child care quality available _____

2.2.4 Describe how the State/Territory shares information with eligible parents about other available human service programs. For example, does the State/Territory share information about these other programs through linkages from the online application, universal applications, through intake process/front line workers, providers, child care resource and referral agencies or other trusted advisors such as home visitors, pediatricians, faith-based services, etc.? At a minimum, include in your description how you provide information to eligible parents, what you provide and by what methods, and which partners you work with to provide information about other available service programs.

- a) Temporary Assistance for Needy Families (TANF)
- b) Head Start and Early Head Start Programs
- c) Low Income Home Energy Assistance Program (LIHEAP)
- d) Supplemental Nutrition Assistance Programs (SNAP- formerly known as Food Stamps)
- e) Women, Infants, and Children Program (WIC)
- f) Child and Adult Care Food Program(CACFP)
- g) Medicaid
- h) Children's Health Insurance Program (CHIP)
- i) Individuals with Disabilities Education Act (IDEA)
- j) Other State/Federally Funded Child Care Programs (e.g., state pre-kindergarten)
- k) Other early childhood programs (e.g., Maternal, Infant, and Early Childhood Home Visiting program)

2.2.5 Describe how the State/Territory shares information with providers (where applicable) to link families to these other available human service programs. For example, does the State/Territory provide information to providers through CCR&R outreach, as a condition of their contract or voucher agreement, through community-based hub agencies that partner with subsidy providers, county/local collaboration, through quality rating and improvements systems, etc.?

- a) Temporary Assistance for Needy Families (TANF)
- b) Head Start and Early Head Start Programs
- c) Low Income Home Energy Assistance Program (LIHEAP)
- d) Supplemental Nutrition Assistance Programs (SNAP- formerly known as Food Stamps)
- e) Women, Infants, and Children Program (WIC)
- f) Child and Adult Care Food Program(CACFP)
- g) Medicaid
- h) Children's Health Insurance Program (CHIP)

- i) Individuals with Disabilities Education Act (IDEA) _____
- j) Other State/Federally Funded Child Care Programs (example-State Pre-K) _____
- k) Other early childhood programs (e.g., Maternal, Infant, and Early Childhood Home Visiting program) _____

2.2.6 Describe how the State/Territory makes available information to parents of eligible children, the general public, and where applicable, providers (see also section 6) about research and best practices in child development, including all domains of early childhood development, including social and emotional development, cognitive, and physical health and development (particularly healthy eating and physical activity), and meaningful parent and family engagement.
(658E(c)(2)(E)(VI))

- a) Describe how the State/Territory makes information about research and best practices in child development available to 1) parents of eligible children, 2) providers and 3) the general public _____
- b) Describe what you provide and how (i.e., methods such as written materials, direct communication, etc.) _____
- c) Describe who you partner with to make information about research and best practices in child development available _____

2.2.7 Describe how information on the State/Territory's policies regarding the social-emotional/behavioral and early childhood mental health of young children, which may include positive behavioral intervention and support models, and policies on expulsion of preschool-aged children (from birth to five for purposes of this requirement), in early childhood programs receiving CCDF is collected and disseminated to 1) parents, 2) providers and 3) the general public.
(658E(c)(2)(E)(i)(VII))

- a) Describe how the State/Territory makes information regarding social-emotional/behavioral and early childhood mental health of young children, which may include positive behavioral intervention support models, available to parents of eligible children, providers and the general public. At minimum, describe **what** you provide (e.g., early childhood mental health consultation services to child care programs) and **how** (i.e., methods such as written materials, direct communication, etc.) for each group:
 - i. Parents _____
 - ii. Providers _____
 - iii. General public _____
- b) Describe any partners used to make information regarding social-emotional/behavioral and early childhood mental health of young children available _____
- c) Does the State have a written policy regarding preventing expulsion of:
 - Preschool-aged children (from birth to five) in early childhood programs receiving child care assistance?

- ☐ Yes. If yes, describe how the State/Territory makes information about that policy available to parents, providers and the general public (what you provide, how you provide and any partners used) and provide a link _____
- ☐ No.
- School-age children from programs receiving child care assistance?
 - ☐ Yes. If yes, describe how the State/Territory makes information about that policy available to 1) parents, 2) providers and 3) the general public (what you provide, how you provide and any partners used) and provide a link _____
 - ☐ No.

2.2.8 Coordination with Other Partners to Increase Access to Developmental Screenings

The State/Territory must develop and describe procedures for providing information on and referring families to existing developmental screening resources and services. (658E(c)(2)E(ii)) At a minimum, the State/Territory must establish procedures to provide information to families and child care providers on: (1) Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program carried out under Title XIX of the Social Security Act (42 U.S.C. 1396 et seq.) and developmental screening services available under section 619 and part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.); and (2) a description of how a family or child care provider receiving CCDF may utilize the resources and services to obtain developmental screenings for children receiving CCDF who may be at risk for cognitive or other developmental delays, which may include social, emotional, physical, or linguistic delays. Describe the status of the State/Territory's procedures for providing information on and referring families to existing developmental screening services.

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. List the Lead Agency policy citation(s) _____ and:
 - a) Describe procedures, including timelines for when infants, toddlers and preschoolers should be screened _____
 - b) Describe how CCDF families or child care providers receiving CCDF may utilize the resources and services to obtain developmental screenings for CCDF children at risk for cognitive or other developmental delays _____
- ☐ Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016) [September 30, 2016](#)
- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [substantially implemented](#)
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable [Through the state’s CCR&R website, there is specific information available to families and child care providers on: \(1\) Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program carried out under Title XIX of the Social Security Act \(42 U.S.C. 1396 et seq.\) and developmental screening services available under Section 619 and Part C of the Individuals with Disabilities Education Act \(20 U.S.C. 1419, 1431 et seq.\); and \(2\) a description of how a family or child care provider receiving CCDF may utilize the resources and services to obtain developmental screenings for children receiving CCDF who may be at risk for cognitive or other developmental delays, which may include social, emotional, physical, or linguistic delays.](#)
 - o Unmet requirement - Identify the requirement(s) to be implemented [The state does not have a policy describing the procedures for providing information on, and referring families to existing developmental screening services, including timelines for when infants, toddlers and preschoolers should be screened.](#)
 - o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
 - a. [In coordination with the Early Childhood Comprehensive Systems Grant committee, develop written procedures;](#)
 - b. [Obtain stakeholder input;](#)
 - b. [Finalize written procedures;](#)
 - c. [Develop a training module on the procedures and provide training to the DES Child Care Eligibility workers, CCR&R staff and providers](#)
 - d. [Implement the procedures.](#)
 - Projected start date for each activity
 - a. [Develop Procedures: January 31, 2016](#)
 - b. [Stakeholder Input: April 1, 2016](#)
 - b. [Finalize Procedures: April 30, 2016;](#)
 - c. [Develop Training and Train: July 1, 2016](#)
 - d. [Implement: September 30, 2016.](#)

- Projected end date for each activity
 - a. [Develop Procedures: March 31, 2016](#)
 - b. [Stakeholder Input: April 30, 2016](#)
 - b. [Finalize Procedures: May 31, 2016;](#)
 - c. [Develop Training and Train: September 30, 2016](#)
 - d. [Implement: September 30, 2016.](#)
- Agency – Who is responsible for complete implementation of this activity
[Department of Economic Security, Child Care Administration](#)
- Partners – Who is the responsible agency partnering with to complete implementation of this activity
[Arizona Department of Health Services, Arizona Health Care Costs Containment System, Department of Economic Security- Arizona Early Intervention Program, First Things First, Arizona Department of Education, Early Childhood Comprehensive Systems Grant committee and the Child Care Resource and Referral \(CCR&R\).](#)

2.2.9 Describe how the State/Territory meets the requirement to maintain a record of substantiated parental complaints. (658E(c)(2)(C))

- a) How does the State/Territory define substantiated parental complaint

[Arizona Department of Economic Security](#)

[The Arizona Department of Economic Security \(Department\) defines parental complaints for certified family child care providers as substantiated through an investigatory process by the certification specialist when the complaint is related to program practices such as: provider's availability, their program, contract compliance issues and other infractions of rule, contract or law. The certification specialist may conduct an interview of the provider, children in care, parents of the children in care or other witnesses etc., to make the determination of substantiation. In some cases of substantiation, certificates may be suspended or revoked. In many cases technical assistance is provided. All forms for this process and notes are placed in the provider's file.](#)

[If the complaint claims to be of substantial harm, the certification specialist reports to the Arizona Department of Child Safety \(DCS\) and/or the police department, and if they substantiate the investigation, The Department will consider it as substantiated. In these instances, the provider's certification is revoked by the Department and the information and documents are placed in the file. If fraud is suspected due to a complaint it will be turned over to the Department's Office of Inspector General \(OIG\). If the OIG determines that fraud occurred, the Department will consider the complaint to be substantiated.](#)

Arizona Department of Health Services

The Department of Health Services, Bureau of Child Care Licensing (Bureau) is mandated to investigate all complaints received about a Certified Small Group Home or Licensed Center/Public School that allege a violation of any statute or rule. The Bureau receives complaints from the public, provider's staff, parents etc. An on-line-form allows anyone with knowledge or concerns about a suspected violation to submit a complaint to the Bureau. All substantiated complaint allegations including parent complaints are documented in a Statement of Deficiencies. In addition, all deficiencies are available on line on the Bureau's azcarecheck.com website. A substantiated parent complaint means that the Bureau received a complaint from a parent who has documented alleged rule/statute violations for the Bureau to investigate. The Bureau has determined, by investigation, that the facility in question had violated alleged rules and or statutes. The facility is cited on a Statement of Deficiencies and is required to correct the violation immediately and send written documentation within 10 days of receipt of the Statement of Deficiencies.

- b) How does the State/Territory maintain a record of substantiated parental complaints about providers (e.g., how long are records maintained and in what format) By law, the Arizona Department of Health Services is responsible for the licensure of child care centers and certification of child care group homes. This includes maintaining a record of substantiated complaints, which are available for public review upon request.

Complaint records for small certified family child care, in-home and relative providers are maintained by the Department of Economic Security Child Care Administration.

- c) How does the State/Territory make substantiated parental complaints available to the public on request Members of the public may review child care center and group home licensing/certification files in Arizona Department of Health Services, Bureau of Child Care Licensing (DHS) at various locations around the state. The public may also contact DHS and request that complaint information be provided by mail or by fax. Additionally, formal enforcement actions taken by DHS may be reviewed at the webpage of the Department of Health Services, Division of Licensing Services Bureau of Child Care Licensing:
<http://hsapps.azdhs.gov/ls/sod/SearchProv.aspx?type=CC>
- d) Complaint records for small certified family child care, in-home and relative providers are maintained and available for review in various DES Child Care Administration offices throughout the state. The public may also contact a DES Child Care Administration office and request that complaint information be provided verbally, by mail or by fax.
Complaint information on small family child care homes which are registered with

the Child Care Resource & Referral (CCR&R) service are available for review at various offices of the community based agencies that provide CCR&R under contract with the Department of Economic Security. These homes are not regulated or monitored and complaints on CCR&R registered homes are not investigated. The publicly viewable files contain both complaints and the provider's written responses, if any, to the complaints.

Translation Services via Language Line are utilized.

- e) Describe how the State/Territory defines and maintains complaints from others about providers _____

2.2.10 How will the Lead Agency or partners provide outreach and services to eligible families for whom English is not their first language?

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

- ☒ Application in other languages (application document, brochures, provider notices)
- ☒ Informational materials in non-English languages
- ☒ Training and technical assistance in non-English languages
- ☒ Website in non-English languages
- ☒ Lead Agency accepts applications at local community-based locations
- ☒ Bilingual caseworkers or translators available
- ☒ Bilingual outreach workers
- ☒ Partnerships with community-based organizations
- ☒ Other Translation Services via Language Line are utilized.
- ☐ None

2.2.11 If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the primary languages offered (top 3) or specify that the State/Territory has the ability to have translation/interpretation in all primary and secondary languages [Child Care Resource and Referral \(CCR&R\) and the Department of Economic Security Child Care Administration both have bilingual staff and provide information in English and Spanish. For other languages, both organizations use translation services \(e.g., Language Line\) or work with community resources for other languages.](#)

2.2.12 Describe how the Lead Agency or partners provide outreach and services to eligible persons with disabilities [Within the Department of Economic Security, the CCDF Lead Agency, there are other divisions that provide outreach to persons with disabilities, including the Division of Employment and Rehabilitative Services, the Division of Developmental Disabilities, and the Arizona Early Intervention Program. When parents or family members identify the need for child care assistance, each of these Divisions, through their cases managers, staff or contractors, provide verbal and/or written information and referrals to persons with disabilities about child care services through CCDF. Child care specialists also provide parents of special needs children with information during the eligibility interview regarding providers holding contracts for enhanced rates for special needs children.](#)

[The CCDF Lead Agency's website is in compliance with the ADA to ensure persons with disabilities have access to the information. DES partners with the Arizona Department of Education, through Exceptional Student Services, Raising Special Kids \(IDEA, Part D Parent Training and Information Center\) and other community agencies to provide outreach to persons with disabilities across the state.](#)

2.3 Website for Consumer Education

The CCDBG Act of 2014 added a requirement that States and Territories have a website describing the State/Territory processes for licensing and monitoring child care providers, processes for conducting criminal background checks as required by law (see section 5.3), and offenses that prevent individuals from being child care providers, and aggregate information on the number of deaths, serious injuries and child abuse in child care settings.

The State/Territory also must make public certain information about the results of such monitoring as required by law for both licensed and unlicensed providers receiving CCDF (see section 5.2) on a website in a way that is consumer-friendly and in an easily accessible format. (658E(c)(2)(D)) In order for a website to be a useful tool for parents, it should be easy to navigate, with a minimum number of clicks, and in plain language. States and Territories must post the results of the monitoring and inspection reports on the website no later than November 19, 2017. All other components of the website must be completed no later than September 30, 2016.

2.3.1 Describe the status of State/Territory's consumer education website.

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. Provide the link to the website [redacted] and describe how the consumer education website meets the requirements to:
- a) Share provider-specific information about health and safety, licensing or regulatory requirements met by the provider (including the last date of inspection, and any history of violations). Describe [redacted]
 - b) Include a description of health and safety requirements and licensing or regulatory requirements for child care providers. Describe [redacted]
 - c) Include a description of the processes for licensing, background checks, monitoring, and offenses that prevent individuals from being providers. Describe [redacted]
 - d) Provide information about the number of deaths, number of serious injuries as defined by the State/Territory and the number of incidences of substantiated child abuse in child care settings. Describe [redacted]
 - e) Describe how the website is consumer-friendly, for example, allowing multiple ways to search for providers, defining terms such as exempt care and corrective action plans, presents the results of monitoring inspections in plain language, providing frequently asked questions, is accessible in multiple languages upon request and to persons with disabilities through multiple formats, differentiating between violations based on risk to children, and easy to locate and navigate. Describe [redacted]
- ☐ Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date. Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
- Overall Target Completion Date (no later than September 30, 2016 for all components of the website except posting the results of the monitoring on the website which is November 19, 2017) [November 19, 2017](#)
 - Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, in progress, partially completed, substantially completed, other) [in progress](#)

Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable [Arizona disseminates information about regulated child care facilities by a variety of means. The Child Care Resource & Referral service offers information on currently licensed/certified centers and homes both via a toll-free phone line and on the Internet. The Arizona Department of Health Services Bureau of Child Care Licensing \(DHS\) offers information on-line using a web-based program, AZ Care Check at <http://www.azdhs.gov/licensing/index.php#azcarecheck> that is available to the public. Az Care Check displays the ‘Statement of Deficiencies’ for all DHS licensed centers and DHS certified group homes for the past three years, which includes all substantiated complaints. This includes the most current inspection and documentation that DHS has accepted the provider’s plan of correction. The DHS Bureau of Child Care Licensing website at <http://www.azdhs.gov/licensing/childcare-facilities/index.php#rules-regulations> displays rules and statutes governing licensed child care facilities and certified group homes; the website also contains regulatory and licensing information for child care providers in an easy to understand format.](#)

- o Unmet Requirement(s) – Identify the requirement(s) to be implemented
 - a. [CCDF Lead Agency certified family child care homes are not included in the Arizona Department of Health Services Az Care Check website; paper files regarding certification status, monitoring results, and compliance issues are available for review at the Department of Economic Security Child Care Administration local offices for certified homes.](#)
 - b. [Aggregate information about the number of deaths and serious injuries is not made available.](#)
 - c. [The Consumer Website containing all of the required information has not been developed yet.](#)
- o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
 - a. [Define requirements for CCR&R Consumer Website modifications;](#)
 - b. [Determine method to automate certified home provider monitoring results;](#)
 - c. [Develop coordination efforts between Department of Economic Security, Department of Health Services, and CCR&R;](#)
 - d. [Prepare and Test automation changes for Department of Economic Security, Department of Health Services, CCR&R systems; and](#)

[e. Implement automation changes and launch new CCR&R Consumer Education portal](#)

- Projected start date for each activity

[a. Define requirements: May 1, 2015;](#)

[b. Determine method to automate certified home provider monitoring results: July 1, 2015;](#)

[c. Develop coordination efforts between Department of Economic Security, Department of Health Services, and CCR&R: September 1, 2015;](#)

[d. Prepare and Test automation changes for Department of Economic Security, Department of Health Services, CCR&R systems: April 1, 2016; and](#)

[e. Implement automation changes and launch new CCR&R Consumer Education portal: September 30, 2016](#)

- Projected end date for each activity

[a. Define requirements: April 1, 2016;](#)

[b. Determine method to automate certified home provider monitoring results: February 28, 2016;](#)

[c. Develop coordination efforts between Department of Economic Security, Department of Health Services, and CCR&R: March 31, 2016;](#)

[d. Prepare and Test automation changes for Department of Economic Security, Department of Health Services, CCR&R systems: September 30, 2016; and](#)

[e. Implement automation changes and launch new CCR&R Consumer Education portal: September 30, 2016.](#)

- Agency – Who is responsible for complete implementation of this activity

[Arizona Department of Economic Security, Child Care Administration](#)

- Partners – Who is the responsible agency partnering with to complete implementation of this activity [Arizona Department of Health Services, CCR&R contractor, and community partners.](#)

3 Provide Stable Child Care Financial Assistance to Families

The expanded purposes of CCDBG highlight the opportunities States and Territories have to “deliver high-quality, coordinated early childhood care and education services to maximize parents’ options and support parents trying to achieve independence from public assistance”; and “to improve child care and development of participating children.” (658A(b)) Young children learn in the context of their relationships with adults, including their child care teacher or provider. The unintentional consequence of child care assistance that is linked to adult work and school obligation is that child care arrangements – and the opportunity for children to form trusting relationships with teachers – are often interrupted and unstable. Child care financial assistance policies that make it easier to get and

keep assistance support continuity of care and relationships between the child and child care provider and enable parents to stay employed or complete training/education. Child care support that extends until families are able to pay the full cost of care themselves promotes longer lasting economic stability for families. CCDF funds may support families until they reach 85% of State Median Income (SMI).

The CCDBG Act of 2014 included requirements to establish minimum 12-month eligibility and redetermination periods, requiring that States and Territories have a process to account for irregular fluctuations in earnings, a policy ensuring that families' work schedules are not disrupted by program requirements, policies to provide for job search of not less than three (3) months, and to describe policies for graduated phase-out of assistance. The definition of an eligible child includes that a family's assets may not exceed \$1,000,000 (as certified by a member of such family). Procedures for enrollment of homeless children and children in foster care if served pending completion of documentation are also now required. There is nothing in statute to prohibit States from establishing policies that extend eligibility beyond 12 months or establish other similar policies to align program requirements that allow children enrolled in Head Start, Early Head Start, state or local pre-kindergarten and other collaborative programs to finish the program year and to promote continuity for families receiving services through multiple benefits programs.

3.1 Eligible Children and Families

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

3.1.1 Eligibility Criteria Based upon Child's Age

a) The CCDF program serves children from 0 (weeks/months/years) to 12 years (through age 12).

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

☐ Yes, and the upper age is _____ (may not equal or exceed age 19). Provide the Lead Agency definition of physical or mental incapacity _____

☒ No.

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

☐ Yes, and the upper age is _____ (may not equal or exceed age 19)

☒ No.

3.1.2 How does the Lead Agency define the following eligibility terms?

- a) residing with – Means to live in the same household of a parent, guardian or other person standing in loco parentis, and who has legal responsibility for the child.
- b) in loco parentis – Means an individual who: has legal guardianship or who has initiated the process of legal guardianship; or is a caretaker relative who exercises responsibility for the day-to-day physical care, guidance and support of a child who physically resides with the relative and who is by blood, adoption or marriage a grandparent, great-grandparent, sibling of the whole or half blood, stepbrother, stepsister, aunt, uncle, great-aunt, great-uncle or first cousin.

3.1.3 Eligibility Criteria Based on Reason for Care

- a) How does the Lead Agency define “working, attending job training and education” for the purposes of eligibility at the point of determination? Provide a brief description below, including allowable activities and if a minimum number of hours is required by State/Territory (not a federal requirement).
 - Working Means the performance of duties on a regular basis for wages or monetary compensation. Authorized care includes travel time and up to 3 months of care at the loss of their activity to promote continuity of care and support job searching after job loss.
 - attending job training Means to be present, at an activity outside of the individual’s home on a regular and acceptable basis, as determined by the DES Jobs or contracted Jobs vendor or homeless/domestic violence shelter case manager. If an individual is a TANF recipient and is required to participate in the DES Jobs program, child care services for any job training and educational program must be approved by the Jobs or contracted Jobs vendor. Attendance at structured work readiness activities (typically involving structured classes and employment preparation activities) as required by a homeless or domestic violence shelter are covered as part of the shelter case plan.
 - attending education Means participation in an activity outside of the individual’s home, which is a structured program, with a goal of, or in preparation for, employment as follows:
 - o High school or its equivalent or remedial education activities reasonably related to obtaining a high school diploma or its equivalent if the individual engaged in the activity is a teen parent.
 - o Other education and training activities (listed below) are allowable if the eligible parent who needs child care is working a monthly average of at least 20 hours per week, the education and training activity is related to an

employment goal and the student maintains satisfactory progress and remains in good standing with the educational institution:

- Attendance at college or trade/vocational activities.
- Attendance at high school, General Educational Development (G.E.D.) classes, English for Speakers of Other Languages (E.S.O.L.) classes or remedial educational activities.
- Attending lab classes.

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

☐ Yes.

☒ No. If no, describe additional requirements Other education and training activities (listed in i. through iii. below) are allowable if the eligible parent who needs child care is working a monthly average of at least 20 hours per week, the education and training activity is related to an employment goal and the student maintains satisfactory progress and remains in good standing with the educational institution.

The 20 hour work requirement does not apply to teen parents in High school or its equivalent or remedial education activities reasonably related to obtaining a high school diploma or its equivalent.

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

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

1) Definition of protective services – a) A child who needs child care as specified in a Department of Child Safety (DCS) or foster care case plan and who is referred for child care services by a DCS Case Manager; or b) Special circumstances families who are unable to provide child care for a portion of a twenty-four hour day due to a crisis situation of domestic violence or homelessness, a physical, mental, emotional, or medical condition, or participation in a drug treatment or drug rehabilitation program or court ordered community service.

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

☒ Yes.

☐ No.

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

☐ No

3.1.4 Eligibility Criteria Based on Family Income

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

- Definition of income –

Income eligibility for the family is decided based on the gross monthly income of all individuals included in family size.

A. Child Care Programs with Income Eligibility

1. Transitional Child Care;
2. Block Grant/Work;
3. Block Grant/Teen Parents; and
4. Block Grant/Unable-Unavailable.

B. Income Types

1. Countable Income

The gross monthly income of a family includes:

a. Gross earnings received for work including:

- i. Wages,
- ii. Salary,
- iii. Armed forces pay (Base Pay only),
- iv. Commissions,
- v. Tips,
- vi. Overtime,
- vii. Piece-rate payments, and
- viii. Cash bonuses earned.

b. Net income from non-farm self-employment, which includes gross revenue minus business expenses.

- i. Gross revenue including the value of all goods sold and services provided.
- ii. Actual expenses which include:
 - a) Costs of goods and services purchased or produced,
 - b) Rent,
 - c) Utility bills,
 - d) Depreciation charges,

- e) Wages, and salaries paid,
 - f) Business taxes, and
 - g) Other expenses which are part of running the business.
 - 1) The value of salable merchandise used by the owners is not included as part of net income.
 - 2) Payments on loans or mortgages obtained to invest in property or equipment are not allowed as expenses.
- c. Net income from farm self-employment, which includes gross revenue minus expenses from managing a farm.
 - i. Gross revenues include:
 - a) The value of all products sold,
 - b) Government crop loans,
 - c) Money received from renting farm equipment to others and
 - d) Income from the sale of wood, sand, gravel, and similar items.
 - ii. Actual expenses which include:
 - a) Costs of feed, Fertilizer, Seed, and other farming supplies,
 - b) Wages paid to farm hands,
 - c) Depreciation charges,
 - d) Cash rent,
 - e) Interest on farm mortgages,
 - f) Farm building repairs,
 - g) Farm taxes (not state and federal income taxes), and
 - h) Other expenses incurred in managing the farm.
 - 1) The value of fuel, food, or other farm products used by the family is not included as part of net income.
 - 2) Payments on loans or mortgages obtained to invest in property or equipment are not allowed as expenses.
- d. Social Security payments before deductions for medical insurance including:
 - i. Social Security benefits and “survivors” benefits, and
 - ii. Permanent disability insurance payments made by the Social Security Administration.
- e. Railroad retirement insurance income.
- f. Interest on savings/checking accounts,
- g. Dividends from stocks, bonds, or royalties (interest on Series H United States Government Savings bonds is prorated on a monthly basis),
- h. Income from estates or trusts,
- i. Net rental income (Deduct the cost of repairs, utilities paid, maintenance, insurance and mortgage payments for the month),

- j. Income from boarders or lodgers (only one-third of the amount charge is counted).
- k. Advances or draws from a company, corporation, or business partnership.
- l. Advances, draws, or loans from:
 - i. A sole proprietorship to its owner or owner's spouse, or
 - ii. From a single member Limited Liability Company (LLC or PLLC) to its managing member or managing member's spouse.
- m. Mortgage payments received on the sale of a home or property when the loan is carried by someone in the household. If payments are received in advance of when they are due, they are counted in the month they are intended for.
- n. Public assistance payments including payments from the following programs:
 - i. Cash Assistance,
 - ii. Supplemental Security Income (SSI),
 - iii. State Supplementary Payments (SSP),
 - iv. General Assistance (GA),
 - v. Bureau of Indian Affairs General Assistance (BIAGA), and
 - vi. Tuberculosis Control (TC). (This is usually a monthly payment. Count the gross amount regardless of whether or not the payment has been reduced for an overpayment or sanction.)
- o. Pensions and annuities including:
 - i. Pensions or retirement benefits paid to a retired person or their survivors by a former employer or by a union, or
 - ii. Distributions or withdrawals from an individual retirement account.
- p. Unemployment Insurance (UI) payments including:
 - i. Payments from government unemployment insurance agencies or private companies during periods of unemployment, and
 - ii. Any strike benefits from union funds.

NOTE: AZ UI is normally a weekly payment. If the client is receiving UI from another state decide the pay frequency. Count the gross amount before any deductions.
- q. Worker's compensation payments.
- r. Money received from the AmeriCorps VISTA Program when the adjusted hourly payment is equal to or greater than federal minimum wage.
- s. Current alimony or spousal maintenance payments.
- t. Current child support payments.
- u. Guardianship subsidy payments made to permanent guardians for children living in the home. (The income from the subsidy payment is the guardian's, not the child(ren).)
- v. Veterans Administration pensions including benefits and disability payments.

- w. Cash gifts received on a monthly (or regular) basis from relatives, other individuals, and private organizations.
- x. Money received through the lottery, sweepstakes, contests, or through gambling, whether received on an annuity or lump sum basis.
- y. Any other source of income not specifically excluded as outlined in Excluded Income below.

2. Excluded Income

The gross monthly income for a family will not include:

- a. Per capita payments to or funds held in trust for any person to fulfill a judgment of the Indian Claims Commission or the U.S. Court of Federal Claims or the U.S. Court of Appeals.
- b. Payments made because of the Claims Resolution Act of 2010, Public Law 111-291, and authorized by the Cobell Settlement to address mismanagement of Native American trust assets.
- c. Payments made because of the Alaska Native Claims Settlement Act which are exempt from taxation under section 21 (a) of the Act.
- d. Money or capital gains received as a lump sum, from the sale of personal or real property, such as stocks, bonds, or a car (unless the person's self-employment activity is selling the property in question)).
- e. Withdrawals of bank deposits.
- f. Loans; money borrowed from a third party when the loan is documented with a promissory note or loan agreement requiring:
 - i. Specific repayment terms,
 - ii. Interest rate, and
 - iii. The action that will be taken against the borrower for default.
- g. Tax refunds.
- h. Any monies received through the federal Earned Income Tax Credit (EITC).
- i. One time lump sum awards or benefits, including:
 - i. Inherited funds;
 - ii. Insurance awards;
 - iii. Damages recovered in a civil suit;
 - iv. Monies paid in by a client to a retirement fund that are later withdrawn before actual retirement;
 - v. Retroactive public assistance payments;
 - vi. Grant diversion cash assistance payments; and
 - vii. Child support arrearages and lump sum payments.
- j. Child support interest and fees paid by the non-custodial parent.

- k. The value of U.S. Department of Agriculture (USDA) Supplemental Nutritional Assistance Program (SNAP) benefits.
- l. The value of USDA donated food.
- m. The value of any supplemental food assistance from Women, Infant, and Children Program (WIC), Child and Adult Care Food Program (C.A.C.F.P.), and the School Lunch Program.
- n. Any payment received under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (e.g. Navajo/Hopi Relocation Act).
- o. Earnings of a child who is under the age of 18 and attending high school or other training program (the earnings of a minor parent who needs care for his or her own child are countable).
- p. Home produce for the family to use.
- q. Government sponsored training program expenses (TRE payments) such as:
 - i. Training related expenses paid to Jobs participants and
 - ii. Workforce Investment Act (WIOA) training expenses.
- r. Military allotments for food and shelter costs (e.g. Basic Allowance for Quarters [BAQ]).
- s. The value of goods or services received for work.
- t. Interest on Series E. United States Government Savings bonds.
- u. Foster care maintenance payments.
- v. Adoption subsidy payments.
- w. Educational loans, grants, awards, scholarships, fellowships, and federal college work study income, regardless of their source.
- x. Money received from the AmeriCorps VISTA Program when the adjusted hourly payment is less than federal minimum wage.
- y. Housing and Urban Development (HUD) benefits.
- z. Vendor payments including payments made directly to a third party by friends, relatives, charities, or agencies to pay bills for the client.
- aa. Vocational Rehabilitation (VR) training related expenses (TRE), subsistence and maintenance allowances, and incentive payments.
- bb. Reimbursements for employment related expenses, when they do not exceed the expense. (This includes reimbursements for child care expenses from an employer paid to an employee as long as the reimbursement does not exceed the actual child care expenses paid by the employee.)
- cc. Disaster relief funds and emergency assistance given under the Federal Disaster Relief Act, and comparable assistance given by a State, local government, or disaster assistance organization.

- dd. Energy assistance including all state or federal benefits designated as “energy assistance” or assistance from a municipal utility or non-profit agency.
- ee. The overpayment amount subtracted from Social Security, Veteran’s benefits or any other countable cash or public assistance benefit.
- ff. Agent Orange payments.
- gg. Any other income specifically excluded by applicable state or federal law.

3. Questionable Income

Medical reimbursements, Health Savings Accounts (HSA), cafeteria plans and flex credits are considered questionable income. CCA staff must find out if the money can be cashed out by the client when the client does not purchase insurance or other benefits the money is intended for. Then contact the Policy helpdesk for assistance in deciding if the income is countable.

4. Income Deduction

- a. The amount of Court ordered child support that is paid each month is subtracted from the total monthly gross countable income.
- b. The client may verify the amount of child support paid monthly through ATLAS II (FPUB) or other child support system.
- c. Lump sum payments are not an allowable deduction. (When a single child support payment exceeds the highest amount of all other payments, it may be a lump sum child support payment. Contact Policy Helpdesk for assistance with verifying whether the payment is a lump sum.)

C. Income Calculation

- 1. Include countable income of all people included in the family size decision. (Refer to Income Types for definitions of countable income sources.)
- 2. Calculate a monthly figure for each source of income separately. (Drop the 3rd number after the decimal point of each converted monthly amount. We do not count fractions of a penny.)
- 3. Add the monthly amounts for each source; and
- 4. Subtract monthly child support paid out (if applicable) from the total household income to obtain the total gross monthly countable income.
- 5. Round down to the next whole dollar.
- 6. Use the Child Care Assistance Gross Monthly Income Eligibility Chart and Fee Schedule (CC-229) to decide if the families’ income is at or below the CCA income maximum.
- 7. Each income source will be counted as part of the total household income until a change is reported. See Changes chapter for information on how to complete a change to a source of income.

D. Income Maximum for Child Care Assistance

The income maximum for DES Child Care Assistance is 165% of the Federal Poverty Level (FPL). The income maximum is found on the Child Care Assistance Income Eligibility Chart and Fee Schedule (CC-229).

1. Calculate the countable gross monthly income for each person included in family size (refer to Countable Income and Excluded Income in this section for more information on which types of income are countable or excluded).
2. If the gross monthly income for the family is less than or equal to 165% FPL, the family meets income eligibility requirements for Child Care Assistance.
3. If the gross monthly income for the family exceeds 165% FPL, the family does not meet income eligibility requirements for Child Care Assistance.

E. Converting Income to a Monthly Amount

1. Convert income received more often than monthly to a monthly amount by one of the methods listed below:
 - a. Decide the frequency of pay; and
 - b. Use the client's most recent gross pay amount.

Note: If the pay stub is for a partial pay period an employer statement or collateral contact to the employer must be used.

 - c. When the client has not yet received a paystub use the gross amount of the first full check as stated on an Employment and Wage Verification Statement signed by the client's employer to calculate monthly income. (If no gross pay amount is stated use the hourly rate and expected weekly hours to calculate monthly income.)
 - d. Accept a signed statement from the client only when both CCA staff and the client are unable to get hardcopy or collateral contact verification of the gross amount on the pay stub. (Attempts must be documented in the case file.)
 - e. If the income amount is received monthly, weekly, bi-weekly, or semi-monthly, the conversion to a monthly amount is found by multiplying the average pay period amount by:
 - i. 1, if monthly;
 - ii. 4.3, if weekly;
 - iii. 2.15, if bi-weekly; or
 - iv. 2, if semi-monthly. (Income received only twice a month is semi-monthly income. Usually it is received on the same dates each month, but may not have an assigned date.)
 - f. For a client paid daily (tips, day labor, etc.) calculate an average monthly figure by adding the gross daily pay amounts from the most recent calendar month.
 - g. This amount is applied as income on an ongoing monthly basis until there is a change in the income.
2. Self-Employment Income

Self-employed clients must have a net profit and meet income eligibility requirements each month in order to be eligible for Child Care Assistance. (See Eligible Activities in Chapter 5 of the CCA Policy and Procedures Manual to decide whether the client's activity is considered as employment or self-employment.)

a. Verification Requirements

CCA requires clients who are self-employed give proof their income at least every 12 months. Self-employment income must be verified by one of the following methods. You must talk with the client to decide the agreed upon method of verification. The most desirable forms are listed first. (Refer to Countable Income in the Income Eligibility Criteria section for more information.)

i. Business and Personal Federal Income Tax Return (for most recent year). Divide net profit by 12 months or the number of months the client was engaged in this business during the year; You can use this when they have been self-employed in the same business for the entire tax year for which they are providing a Tax Return.

ii. Accountant's Financial Statement.

Divide net profit by the number of months the financial statement covers. You can use this when the client uses an accountant and has not yet been in their self-employment activity long enough to have filed a tax return covering an entire year of their self-employment activity.

iii. Six prior months of Self Employment Log (CC-227) and Self Employment Budget Record (CC-228) completed by the self-employed client.

a) A 40% standard deduction for expenses will be taken from the gross income indicated on the Self Employment Log (CC-227) and Self-Employment Budget Record (CC-228) unless otherwise indicated by the client.

b) If the client objects to the standard 40% deduction, they must provide receipts for gross sales and expenses or itemized bank statements with the self-employment verification forms to verify all income and business deductions. (When the client chooses to use receipts or bank statements rather than the standard 40% deduction, IRS rules will apply in determining allowable expenses, including business use of a car and business use of a home. Contact the CCA Policy Help Desk for information regarding allowable business expenses.)

c) If the client expresses that they are having a problem completing the Self Employment Log (CC-227) or Self-Employment Budget Record (CC-228), assist the client in the completion. Child Care Assistance shall not be denied if the client cannot complete the form without assistance.

d) If the client submits a Self-Employment Budget Record (CC-228) form with only the Income section completed or does not provide expense receipts for the expenses they list, you will instead deduct the standard 40% allowance for self-employment/business expenses.

b. Verification Requirements for New Applicants and Newly Self-Employed Clients

You can authorize Child Care Assistance for new applicants and new business owners who do not have any of the verification listed above, if they provide a signed statement regarding the nature of their business and their anticipated gross monthly profit. This allows the client time to produce six months of self-employment verification.

3. Converting Income from Self-Employment and Income Received Less Often Than Monthly

Convert income from self-employment and income received less often than monthly to a monthly figure as indicated below.

a. If the client had income (from a source that is not considered terminated), convert income received less often than monthly to a monthly amount by averaging the total income received during the most recent 6 calendar month period. This is the gross monthly income.

i. When income is received from various sources, such as independent contracting, self-employment, or commission based employment, include the income received from all sources in the six calendar month calculation and average it to determine the gross monthly income.

ii. Do not eliminate a source of income from the six calendar month calculation unless the employment activity has terminated and is not expected to continue or recur.

b. If the family receives the income prior to the date of application, begin counting the gross monthly income immediately.

c. If the income is received on or after the date of application, the gross monthly income is considered countable the date income is received or if income is from a new source, 10 days after the date that the first payment is received.

d. If the self-employment activity or the activity expected to generate income less often than monthly has just begun, use an estimated 6 month gross income figure to determine the average monthly gross countable income, based on a statement from the employer when available, or based on a statement from the person engaged in the activity.

- e. Recalculate gross monthly income using the most recent 6 calendar month period, after 6 calendar months have elapsed.

4. Child Support Income

Current Child Support and Spousal Support Payments are countable when received by a parent or caretaker who is in the family size, or a non-parent relative or legal guardian who is not in the family size, but is receiving support for children in their care. This includes current child support, and current spousal support payments.

a. Proof of Child Support

Acceptable sources for proof of child support received are:

- i. The Division of Child Support Services (DCSS) "Custodial Parent Agency Record Pay History Report" from ATLAS II displaying current child support received for the 3 prior calendar months.
- ii. A court printout of the 3 prior calendar months (or a well-documented collateral contact to the Domestic Relations Court);
- iii. The Divorce Decree/Child Support Order;
- iv. A print out of a bank statement from an account assigned by a child support enforcement program, or
- v. The client's written and signed statement may be accepted when support is NOT received through DCSS or the courts (but it must explicitly state the name of the person paying the support, the child on whose behalf the support is paid, the actual amount of support paid monthly, and the method of payment, e.g., cash, check etc.).

b. Child Support Is Averaged

- i. Child Support payments are counted the month received. Court ordered child support is usually a monthly amount. (DO NOT annualize child support income by using income multipliers, e.g., 4.3, 2.15.)
- ii. Payments are averaged for the 3 prior calendar months when using the DCSS "Custodial Parent Agency Record Pay History Report" from ATLAS II or a 3 month court printout. When averaging the last 3 prior calendar months of child support, include all zero payment months that fall within the 3 month timeframe.

c. New or Resumed Child Support

Use the court order to determine the monthly amount to count when:

- i. The client states they have received a child support payment; and
- ii. Nothing displays in ATLAS II (FPUB) for the three month period.

d. When Child Support Stops

- i. Court Ordered Support- If the client states child support has stopped, the client must prove child support is terminated by providing a court

order or other legal document stating support will no longer continue. If the client fails to supply the legal document, continue to use a 3 month average.

- ii. Child Support Received Without a Court Order- If a client statement was used to verify receipt of child support another client statement can be used to verify child support has stopped.

5. New Income Source

When a family receives a new income source that will be received monthly, weekly, bi-weekly or semi-monthly project the income.

- a. When the client reports the new income source in advance of their first full payment:

- i. The income is not considered available to the family until 10 days after the date that the first full payment is received;
- ii. For initial applications the income is considered available to the client if the first full payment was received prior to the application date.
- iii. A new fee level or ineligibility is not given to the client until the monies are available to the client;
- iv. When the change results in a copayment/fee level increase or stops Child Care Assistance, follow negative action requirements.

- b. When a client has already received payment which includes the new income source, and a higher fee level or ineligibility results, give 10 day negative action notice before increasing the fee level or stopping assistance (refer to Changes for time frames and notification requirements).

6. Dividing Shared Income Between the Children It Belongs To

- ii. If Cash Assistance benefits are received by or for the children, only the pro rata share of income for the children in family size is counted. (See Procedures for more information.)

F. Income Deeming Process for Unwed Minor Parents who Live with Their Own Parents

- 1. Count only the portion of the income of a minor parent's parent that exceeds 165% of the federal poverty level for that family size when all of the following conditions apply:
 - a. The unwed minor parent lives in the same home with their own parents;
 - b. The minor parent is NOT married, separated, or divorced.
 - c. The parents of the minor parent do not intend to claim the minor parent or a member of the minor parent's family unit as a dependent on their federal or state income tax return. (If the parent is claiming anyone in the minor parent's family on their tax returns refer to the Tax Claimant Provision.)

b) Provide the CCDF income eligibility limits in the table below. **Complete** columns (a) and (b) based upon maximum eligibility initial entry into the CCDF program. Complete columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the current SMI. Complete columns (e) and (f) with the maximum “exit” eligibility level if applicable and below the federal limit of 85% of current SMI. Note – If the income eligibility limits are not statewide, check here ☐. Describe how many jurisdictions set their own income eligibility limits _____. Fill in the chart based on the most populous area of the state.

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	(c) (IF APPLICABLE) \$/month Maximum “Entry” Income Level if lower than 85% Current SMI	(d) (IF APPLICABLE) % of SMI [Divide (c) by (a), multiply by 100] Income Level if lower than 85% Current SMI	(e) (IF APPLICABLE) \$/month Maximum “Exit” Income Level if lower than 85% Current SMI	(f) (IF APPLICABLE) % of SMI [Divide (e) by (a), multiply by 100] Income Level if lower than 85% Current SMI
1	2,823	2,400	1,619	57.4%	1,619	57.4%
2	3,692	3,139	2,192	59.4%	2,192	59.4%
3	4,560	3,876	2,764	60.6%	2,764	60.6%
4	5,428	4,614	3,335	61.4%	3,335	61.4%
5	6,297	5,353	3,908	62.1%	3,908	62.1%

Reminder - Income limits must be provided in terms of current State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. Federal [poverty guidelines](http://aspe.hhs.gov/poverty/index.cfm) are available at <http://aspe.hhs.gov/poverty/index.cfm>.

c) SMI Source and year <https://federalregister.gov/a/2015-14187>

d) These eligibility limits in column (c) became or will become effective on [October 1, 2015](#)

e) Provide the link to the income eligibility limits see [Attachment 3.1.4 Sliding Fee Scale](#)

3.1.5 Graduated Phase-Out of Assistance

The CCDBG Act of 2014 added a provision that requires States and Territories to provide for a graduated phase-out of assistance for families whose income has increased at the time of re-determination, but remains below the federal threshold of 85% of State median income. Providing a graduated phase-out supports long-term family economic stability by allowing for wage growth and a tapered transition out of the child care subsidy program. (658E (c)(2)(N)(iv)) This might be achieved through policies such as establishing a second income eligibility threshold at redetermination (e.g., establishing a different eligibility threshold for families first applying for assistance and those already receiving assistance, sometimes called and “exit threshold”) or by granting a sustained period of continued assistance to the family before termination.

Describe the status of the State/Territory’s policy regarding graduated phase-out of assistance.

- ❑ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. List the Lead Agency's policy citation(s) and describe the policies and procedures for graduated phase-out _____
- ❑ Not implemented. The State must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste tables here. Your responses here will be consolidated electronically into an Implementation Plan summary report.
 - Overall Target Completion Date (no later than September 30, 2016) [September 30, 2016](#)
 - Overall Status – Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [not yet started](#)
 - Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable
 - Unmet requirement - Identify the requirement(s) to be implemented [12 month eligibility allowing individuals above 165% of the Federal Poverty Level to remain on assistance through the 12-month period has not been implemented. Graduated phase out period of at least 3 months at the point a family's income is determined to exceed 165% of Federal Poverty Level at the 12-month review period has not yet been implemented.](#)
 - Tasks/Activities – What steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
 - [a\) State legislation and administrative rules need to be changed to indicate an income entry maximum of 165% of FPL, allowing continuation during the 12 month period while remaining under 85% of State Median Income, with a graduated phase out period of 3 months at the expiration of the 12 month review period;](#)
 - [b\) Policy needs to be changed to reflect a minimum 3 month phase out period once a family's income exceeds 165% of Federal Poverty Level but remains below 85% of State Median Income;](#)
 - [c\) Forms and notices need to be adjusted to reflect policy changes;](#)
 - [d\) Automated system needs to be modified to accommodate the 3-month phase-out period;](#)
 - [e\) Staff training needs to be developed regarding the phase-out process; and](#)

f) Staff to receive training on new policy and procedures.

- Projected start date for each activity

a) State legislation: January 1, 2016; Rule writing dependent on passage of legislation: April 1, 2016 (assumes legislation includes exempt rule-making authority)

b) Policy changed to reflect new legislation and administrative rules-development to run concurrently with the Rule development: April 1, 2016.

c) Forms and notices adjusted to reflect policy changes: April 1, 2016. Training of staff on the new requirement

d) System modifications: April 1, 2016

e) Training development: July 1, 2016

f) Training: September 1, 2016

- Projected end date for each activity

a) State Legislation and Rules- July 1, 2016

b) Policy - September 1, 2016

c) Forms and notices – September 1, 2016

d) System modifications- April 1, 2016

e) Training development- September 1, 2016

f) Training- September 30, 2016

- Agency – Who is responsible for complete implementation of this activity Arizona Department of Economic Security
- Partners – Who is the responsible agency partnering with to complete implementation of this activity Arizona State Legislature, Arizona Attorney General's Office

3.1.6 Fluctuation in Earnings

The CCDBG Act of 2014 added a requirement that the Plan shall demonstrate how the State/Territory's (or designated local entity) processes for initial determination and redetermination take into account irregular fluctuations in earnings. (658E(c)(2)(N)(i)(II))

Note – this change requires that States and Territories have policies to account for the fact that some parents with seasonal or other types of work schedules may have irregular earnings over the course of a year, including changes that temporarily exceed 85% of SMI. States and Territories should have procedures to guide how eligibility and copayments are set in a manner to take such circumstances into account. For example, averaging family income over a period of time to broaden the scope of income verification to be

more reflective of annual income rather than tied to a limited time frame that may have seasonal irregularities.

Describe the status of the State/Territory's policy related to the fluctuation in earnings requirement.

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. List the Lead Agency's policy citation(s) and describe the circumstances that cover irregular fluctuations of earnings pursuant to this requirement

[A.A.C.R6-5-4914.7](#)

[and the Child Care Administration Policy Manual Chapter 7 page 13](#)

[Converting Income to a Monthly Amount](#)

[Income Received More Often Than Monthly](#)

[Income that is received more often than monthly \(received monthly, weekly, bi-weekly, or semi-monthly\) is converted to a monthly amount by multiplying the average pay period amount by:](#)

[1, if monthly;](#)

[4.3, if weekly;](#)

[2.15, if bi-weekly; or](#)

[2, if semi-monthly.](#)

[For a client paid daily \(tips, day labor, etc.\) calculate an average monthly figure by adding the gross daily pay amounts from the most recent calendar month.](#)

[This amount is applied as income on an ongoing monthly basis until there is a change in the income.](#)

[The client is only required to submit a single paystub that represents the most recent gross paycheck amount. With this method of budgeting, occasional instances of overtime pay, etc., would not negatively impact income eligibility.](#)

[Income Received Less Often Than Monthly \(and Self Employment Income\)](#)

[Converting Income from Self-Employment and Income Received Less Often Than Monthly](#)

[Convert income from self-employment and income received less often than monthly to a monthly figure as indicated below.](#)

[If the client had income \(from a source that is not considered terminated\), convert income received less often than monthly to a monthly amount by averaging the total income received during the most recent 6 calendar month period. This is the gross monthly income.](#)

[When income is received from various sources, such as independent contracting, self-employment, or commission based employment, include the income received from](#)

all sources in the six calendar month calculation and average it to determine the gross monthly income.

Do not eliminate a source of income from the six calendar month calculation unless the employment activity has terminated and is not expected to continue or recur.

If the family receives the income prior to the date of application, begin counting the gross monthly income immediately.

If the income is received on or after the date of application, the gross monthly income is considered countable the date income is received or if income is from a new source, 10 days after the date that the first payment is received.

If the self-employment activity or the activity expected to generate income less often than monthly has just begun, use an estimated 6 month gross income figure to determine the average monthly gross countable income, based on a statement from the employer when available, or based on a statement from the person engaged in the activity.

Recalculate gross monthly income using the most recent 6 calendar month period, after 6 calendar months have elapsed.

- ☐ Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016) _____
- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - Unmet requirement - Identify the requirement(s) to be implemented _____
 - o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - Projected start date for each activity _____
 - Projected end date for each activity _____
 - Agency – Who is responsible for complete implementation of this activity _____

- Partners – Who is the responsible agency partnering with to complete implementation of this activity _____

3.1.7 Describe how the Lead Agency documents, verifies and maintains applicant information. Check the information that the Lead Agency documents and include in the description what information is required and how often. There are no federal requirements for specific documentation or verification procedures.

- ☐ Applicant identity. Describe State issued Driver License or ID card, passport, birth certificate, etc. copies are maintained in the file.
- ☐ Applicant's relationship to the child. Describe Declared on application, verified if questionable, cross reference with the FAMIS system for those with TANF eligibility; verified for non-parent relatives, copies of all verification are maintained in the file.
- ☐ Child's information for determining eligibility (e.g., identity, age, etc.). Describe Declared on the application, verified if questionable, cross referenced with the FAMIS system for those with TANF eligibility, copies of all verification are maintained in the file.
- ☐ Work. Describe Declared on the application, verified for all household members included in family size. Verification includes: system interfaces, reviewing on-line employment verification systems; hard copy verification, collateral contacts made to employers, and client statement if no other verification method is available. Copies of all verification are maintained in the file.
- ☐ Job training or Educational program. Describe Declared on the application, verified via referral from the TANF employment program or class schedules, copies of all verification are maintained in the file.
- ☐ Family income. Describe Declared on the application, verified through system interfaces, reviewing on-line employment verification systems, hard copy verification, collateral contacts, and client statements, copies of all verification are maintained in the file.
- ☐ Household composition. Describe Declared on the application, verified if questionable, cross referenced with the FAMIS system for TANF eligibility, copies of all verification are maintained in the file.
- ☐ Applicant residence. Describe Declared on the application, verified if questionable, and copies of all verification are maintained in the file.
- ☐ Other. Describe _____

Reminder – Lead Agencies are reminded that, for purposes of implementing the citizenship verification requirements mandated by title IV of Personal Responsibility and Work Opportunity Reconciliation Act, only the citizenship and immigration status of the child, who is the primary beneficiary of the child care benefit, is relevant for eligibility purposes (ACYF-PI-CC-98-08). States may not deny child care benefits to an eligible child because the parent(s), legal guardians, persons standing in loco parentis, or other household members have not provided information regarding their immigration status. In addition, verification of child citizen status is not required when the child is served in a program meeting Early Head Start/Head Start standards, such as in Early Head

Start – Child Care Partnerships, or public educational standards which may include pre-k settings (<http://www.acf.hhs.gov/programs/occ/resource/pi-2008-01>).

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

- ☒ Time limit for making eligibility determinations. Describe length of time Eligibility must be determined as soon as verification is received, but no later than 30 days from the date of application.
- ☒ Track and monitor the eligibility determination process
- ☐ Other. Describe _____
- ☐ None

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

Per CCDF regulations, Lead Agencies are required to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age (98.16(9) and 98.33(b)). This requirement did not change under the reauthorization, however Lead Agencies may wish to re-examine those definitions in light of new purposes articulated in Reauthorization and to promote alignment across programs. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State/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:

State/Territory TANF Agency Arizona Department of Economic Security, Employment Administration, Jobs Program

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

- "appropriate child care" Means child care that is licensed by the Arizona Department of Health Services or certified by the Arizona Department of Economic Security.
- "reasonable distance" Means child care that is available when the total travel time from a TANF participant's home, to the child care provider, and the work activity, is less than one hour one way by vehicular transportation; or less than ½ hour one way if the only mode of transportation is walking.

- "unsuitability of informal child care" Means child care that is available through a relative provider, but the recipient declares in writing that the provider is inappropriate based on factors such as, that the relative provider: a) has a history of child neglect or abuse; b) is experiencing domestic violence; c) has a history of serious crime; d) is a drug abuser; e) has an emotional, mental, or physical condition which prevents the relative from providing safe care; or f) resides in a home which is unsafe for children.
- "affordable child care arrangements" Means child care that is available when the cost of care is equal to or less than the amount that the Department of Economic Security will pay.

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

- ☒ In writing
- ☒ Verbally
- ☐ Other. Describe _____
- ☒ List the citation to this TANF policy

A.A.C. R6-10-101(55)(56) Definitions

The definitions in A.R.S. § 46-101 and the following definitions apply to this Chapter:

55. "Unaffordable child care" means that child care is not affordable to a family because the cost of care is more than the Department will pay.

56. "Unavailable child care" means that:

a. The location of a child care provider is at a distance that requires a one-way travel time by vehicular transportation equal to or greater than one hour, measured from the participant's residence to the child care provider and then to work, or if walking, a distance that requires a one-way travel time equal to or greater than 1/2 hour, measured in the same manner;

b. Child care providers do not have available slots or vacancies;

c. Child care providers cannot provide services to a child with a disability who has special needs;

d. Child care providers related to the child are unavailable or unwilling to provide care;

e. Child care is available through a non-relative provider, but the provider is unwilling to apply for Arizona Department of Economic Security certification; or

f. A child age 13 or older requires adult supervision;

i. Due to a disability, which includes mental health or other health-related issues;

- [ii. Because the child would be harmful to himself, herself, or others if left alone; or](#)
- [iii. Because the child is on court-ordered probation that requires the child to remain in the home or under house arrest.](#)

[A.A.C. R6-10-121.\(B\)\(9\) Failure to participate; Good Cause Reasons; Verification; Establishment of Good Cause](#)

- [Good cause reasons. Good cause reasons that prevent a participant from engaging in work activities under R6-10-102, include:](#)
- [The participant is unable to obtain child care for a child who is less than 13 years old because the child care is unavailable, unaffordable, or unsuitable;](#)

[DES 2-10.805 NOTIFICATION OF NON-COMPLIANCE-Good Cause Reasons \(p. 8-5\).](#)

[The verbiage is within a list of good cause reasons:](#)

[Some examples of good cause reasons are... Child care for a child who is under 13 years of age was unavailable; unaffordable, or unsuitable;](#)

[Note: The Child Care Administration will notify the Jobs Program through the Jobs Automated System if child care is unaffordable, unavailable or unsuitable. The individual will not be subject to the sanction process. The individual will be re-referred to the Child Care Administration intermittently to explore the availability of child care services.](#)

3.1.10 The Lead Agency certifies that it will require a family member to certify that the family assets do not exceed \$1,000,000. A check-off on the application is sufficient.

- ☐ Yes. [The Lead Agency certifies that it will require families to certify that the family assets do not exceed \\$1,000,000 no later than September 30, 2016.](#)

3.2 Increasing Access for Vulnerable Children and Families

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

3.2.1 Describe how the Lead Agency will prioritize or target child care services for the following children and families (658E(c)(3)(B)), including definitions, any time limits, grace periods or priority rules in the description:

- d. Provide definition of “Children with special needs” [means children who need increased supervision, modified equipment, modified activities, or modified facility within a child](#)

care setting due to any physical, mental, sensory, or emotional delay, or medical condition, and includes a child with a disability. and describe how services are prioritized. Same priority as other CCDF families, with higher rates for providers caring for children with special needs who require additional care.

- e. Provide definition of “Families with very low incomes” means families with incomes at or below 100 percent of the Federal Poverty Level, as determined by the Arizona Department of Economic Security, Child Care Administration and describe how services are prioritized these families are prioritized above other CCDF families for services when a Priority Waiting List is in place and a Wait List release occurs.
- f. Describe how services for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF are prioritized (Section 418(b)(2) of the Social Security Act) These families receive priority over all families except those in protective services, and are not subject to the priority waiting list when funding is limited.

3.2.2 Improving Access for Homeless Children and Families.

The CCDBG Act of 2014 places greater emphasis on serving homeless children and families. Stable access to high-quality child care provides tremendous benefits to all children, especially our most vulnerable children. Children and families who experience homelessness face many challenges. Improving access to child care can buffer children and families from the challenges and risks associated with homelessness by supporting children’s learning and development in safe, stable and nurturing environments. Under the new law, States and Territories are required to use CCDF funds to 1) allow homeless children to receive CCDF assistance after an initial eligibility determination but before providing required documentation (including documentation related to immunizations); 2) providing training and technical assistance to child care providers on identifying and serving homeless children and families (addressed in Section 6); and 3) conduct specific outreach to homeless families. (658E(c)(3))

States and Territories also must establish a grace period that allows homeless children and children in foster care (if served by the Lead Agency) to receive CCDF assistance while their families are taking the necessary actions to comply with immunization and other health and safety requirements as described in Section 5. This flexibility will make it significantly easier for these vulnerable families to access child care services. This language is consistent with current requirements established through CCDF regulations in 1998, which required a grace period in which children can receive services while families take the necessary actions to comply with the immunization requirements. (658E(c)(2)(i)(I)) ACF recommends States and Territories consult the definition of homeless in the McKinney-Vento Act (section 725 of subtitle VII-B) as you implement the requirements of this section as that definition is consistent with the required CCDF administrative data reporting requirements.

Describe the status of the State/Territory’s procedures to enroll and provide outreach to homeless families and establish a grace period for children in foster care, if served, for meeting immunization requirements

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. Describe the following:
- a. Procedures to increase access to CCDF subsidies for homeless children and families, including the grace period to comply with immunization and health and safety requirements [The Child Care Administration has prioritized homeless families residing in homeless shelters above all others when funding becomes limited; these families are not subject to our waiting list. Providers give homeless families additional time as needed to comply with immunization requirements.](#)
 - b. Procedures to conduct outreach to homeless families to improve access to child care services [Homeless shelters are regularly provided information on child care assistance and are given the forms and applications for families to complete. Providers are given information on child care assistance to encourage families to apply for assistance, Early Head Start partners are provided information on child care programs, including information on child care assistance available to homeless families.](#)
 - c. Procedures to provide a grace period to comply with immunization and other health and safety requirements to expedite enrollment for children who are in foster care if served by the Lead Agency to improve access to child care services [Providers allow homeless families additional time as needed to comply with immunization requirements.](#)
- ☐ Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
- Overall Target Completion Date (no later than September 30, 2016) _____
 - Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
 - o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - o Projected start date for each activity _____
 - o Projected end date for each activity _____

- o Agency – Who is responsible for complete implementation of this activity _____
- o Partners – Who is the responsible agency partnering with to complete implementation of this activity _____

3.3 Protection for Working Parents

3.3.1 Twelve-Month Eligibility

The CCDBG Act of 2014 establishes a minimum 12-month eligibility and redetermination period for CCDF families. States and Territories are required to demonstrate in the Plan that no later than September 30, 2016 each child who receives assistance will be considered to meet all eligibility requirements for such assistance and will receive such assistance, for a minimum of 12 months before the State/Territory redetermines the eligibility of the child, regardless of changes in income (as long as income does not exceed the federal threshold of 85% of State median income) or temporary changes in participation in work, training, or education activities. (658E(c)(2)(N)(i) & (ii))

Note that this change means a State/Territory may not terminate CCDF assistance during the 12-month period if a family has an increase in income that exceeds the State's income eligibility threshold, but not the federal threshold of 85% SMI.

In addition, this change means the State/Territory may not terminate assistance prior to the end of the 12-month period if family experiences a temporary job loss or temporary change in participation in a training or education activity. Examples of temporary changes include but are not limited to: absence from employment due to maternity or extended medical leave, changes in seasonal work schedule, or if a parent enrolled in training or educational program is temporarily not attending class between semesters.

Describe the status of the State/Territory's establishment of 12-month eligibility and redetermination periods for CCDF families.

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. List the Lead Agency's policy citation(s) and describe circumstances considered temporary changes in work, education or training that are not subject to termination [A.A.C. R6-5-4909 The Department shall complete a review of all eligibility factors for each client at least once every 12 months beginning with the 12th month following the first month of Child Care Assistance Eligibility. Child Care Assistance will continue for a period of not less than 3 months when a work or educational activity ends.](#)
- ☐ Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
 - Overall Target Completion Date (no later than September 30, 2016) _____

- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

- o Implemented requirement(s) – Identify any requirement(s) implemented to date

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

- o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____

- o Projected start date for each activity _____

- o Projected end date for each activity _____

- o Agency – Who is responsible for complete implementation of this activity _____

- o Partners – Who is the responsible agency partnering with to complete implementation of this activity _____

3.3.2 State and Territory option to terminate assistance prior to 12 months

The CCDBG Act of 2014 provides States and Territories the option – but does not require them – to terminate assistance prior to re-determination at 12 months if a parent loses employment or if he or she stops attending a job training or education program (i.e., if the parent experiences a non-temporary change in their status as working, or participating in a training or education program). However, prior to terminating the subsidy, the State/Territory must provide a period of continued child care assistance of at least 3 months to allow parents to engage in job search, resume work, or to attend an education or training program as soon as possible. (658E(c)(2)(N)(iii)) Nothing in the statute prohibits the State/Territory from starting a new 12-month eligibility and redetermination period if families are eligible at the end of their job search, training or education attendance period.

Note that unless the State allows a minimum 3-month job search period – the State/Territory may not exercise the option to terminate assistance based on a parent’s non-temporary job loss or cessation of attendance at a job training or educational program prior to the end of the minimum 12-month eligibility and re-determination period. The statute does not specify any documentation that States/Territories must require parents to submit regarding activities during periods of job search or finding training or education program requirements for this period.

Does the State/Territory terminate assistance prior to 12 months due to a parent’s non-temporary loss of work or cessation of attendance at a job training or education program?

- ☐ Yes, the State/Territory terminates assistance prior to 12 months due to parent’s loss of work or cessation of attendance at a job training or education program ONLY. List the Lead Agency’s policy citation(s) and describe the circumstances considered to be non-temporary job, education or training loss and provide the duration allowed for job search or resuming

attendance in training or education programs [Arizona Department of Economic Security Child Care Assistance Policy Manual, Chapter Chapter 11; Changes: Any loss of activity during the 12 month eligibility period would necessitate a 3 full calendar month job search period. Services would not be terminated and would be reauthorized if the client resumed the work or school activity by the end of the 3 month job search period. This policy has been implemented statewide. Administrative rule changes are pending.](#)

- ☐ No, the State/Territory does not allow this option.

3.3.3 Prevent Disruption of Work

The CCDBG Act of 2014 added a requirement that States and Territories must describe in the Plan the procedures and policies in place to ensure that parents (especially parents in families receiving assistance under TANF) are not required to unduly disrupt their employment, education or job training activities in order to comply with the State/Territory's or designated local entity's requirements for redetermination of eligibility for assistance. (658E(c)(2)(N)(ii)) Examples include implementing re-determination strategies to verify income and employment electronically as opposed to more onerous practices such as asking parents and families to come to the subsidy office for an in-person visit, or aligning eligibility with other early care and education or public benefits programs to collect information centrally. The process by which States and Territories collect eligibility documentation represents a potential barrier to services, particularly when documentation can only be provided in-person during standard work hours. States and Territories can offer a variety of family-friendly mechanisms for submitting documentation for eligibility determinations and/or re-determination.

Describe the status of the State/Territory's redetermination procedures and policies to ensure that parents (especially parents receiving TANF) do not have their employment, education or job training unduly disrupted in order to comply with the State/Territory's or designated local entity's requirements for redetermination of eligibility.

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. List the Lead Agency's policy citation(s) and describe the policies and procedures for not unduly disrupting employment

[A.A.C. R6-5-4905. Initial Eligibility Interview](#)

[A. Upon receipt of an identifiable application, the Department shall schedule an initial eligibility interview for the applicant. Upon request, the Department shall conduct the interview at the residence of a person who is homebound.](#)

[B. The applicant shall attend the interview. A person of the applicant's choosing may also attend the interview.](#)

[C. The Department may conduct a telephone interview if the applicant has previously verified citizenship or legal residency status as prescribed in R6-5-4911\(E\).](#)

A.A.C. R6-5-4906. Verification of Eligibility Information

- A. The Department shall obtain independent verification or corroboration of information provided by the client when required by law, or when it is necessary to determine eligibility, fee level and copayment assignment, or service authorization amount.
- B. The Department may verify or corroborate information by any reasonable means including:
1. Contacting third parties such as employers and educational institutions,
 2. Asking the client to provide written documentation such as pay stubs or school schedules, and
 3. Conducting a computer data match through other Department programs' computer systems.
- C. The client is responsible for providing all required verification. The Department shall offer to assist a client who has difficulty in obtaining the verification and requests help.

A.A.C. R6-5-4909. 12-month Review

- A. The Department shall complete a review of all eligibility factors for each client at least once every 12 months, beginning with the 12th month following the first month of Child Care Assistance eligibility.
- B. The Department may elect to review eligibility factors more frequently than every 12 months.
- C. At least 30 days prior to the 12-month review date, the Department shall mail the client a notice advising of the need for a review, and the requirement to submit a completed review application and verification of income and other eligibility factors for the most recent calendar month.
- D. In response to such notice, the client shall mail or deliver to the Department a completed review application and verification by the date on the notice.
- E. The Department shall verify the client's income and any eligibility factors that have changed or are subject to change.
- ☐ Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not

cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016) _____
- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - Unmet requirement - Identify the requirement(s) to be implemented _____
 - Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - Projected start date for each activity _____
 - Projected end date for each activity _____
 - Agency – Who is responsible for complete implementation of this activity _____
 - Partners – Who is the responsible agency partnering with to complete implementation of this activity _____

3.4 Family Contribution to Payment

The statute requires Lead Agencies to establish a sliding fee scale that varies based on income and the size of the family to be used in determining each family's contribution (i.e., co-payment) to the cost of child care that is not a barrier to families receiving CCDF. (658E(c)(5) In addition to income and size of the family, the Lead Agency may use other factors when determining family contributions/co-payments. The sliding fee scale is subject to review by ACF as part of ongoing monitoring efforts to CCDBG compliance.

- 3.4.1** Provide the CCDF copayments in the chart below according to family size for one child in care. Note – If the sliding fee scale is not statewide, check here ☐ and describe how many jurisdictions set their own sliding fee scale _____. Fill in the chart based on the most populous area of the State.

Family Size	(a) Lowest "Entry" Income Level Where Copayment First Applied	(b) What is the monthly copayment for a family of this size upon initial entry into CCDF?	(c) What is the percent of income for (b) ?	(d) Highest "Entry" Income Level Before No Longer Eligible	(e) What is the monthly copayment for a family of this size upon initial entry into CCDF?	(f) What is the percent of income for (e)?
1	0	\$ 11.50	>100%	\$ 1,619	\$ 230.00	14.2%
2	0	\$ 11.50	>100%	\$ 2,192	\$ 230.00	10.5%
3	0	\$ 11.50	>100%	\$ 2,764	\$ 230.00	8.3%
4	0	\$ 11.50	>100%	\$ 3,335	\$ 230.00	6.9%
5	0	\$ 11.50	>100%	\$ 3,908	\$ 230.00	5.9%

a) What is the effective date of the sliding fee scale(s)? [October 1, 2015](#)

b) Provide the link to the sliding fee scale See [Attachment 3.1.4 Sliding Fee Scale](#)

3.4.2 How will the family's contribution be calculated and to whom will it be applied? Check all that apply.

☒ Fee is a dollar amount and

☒ Fee is per child with the same fee for each child

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

☐ Fee is per child up to a maximum per family

☐ No additional fee charged after certain number of children

☐ Fee is per family

☐ Fee is a percent of income and

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

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

☐ Fee is per child up to a maximum per family

☐ No additional percentage applied charged after certain number of children

☐ Fee is per family

☐ Contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1). Describe _____

☐ Other. Describe _____

3.4.3 Will the Lead Agency use other factors in addition to income and family size to determine each family's copayment? (658E(c)(3)(B))

- ☒ Yes, and describe those additional factors using the checkboxes below.
- ☒ Number of hours the child is in care
- ☐ Lower copayments for higher quality of care as defined by the State/Territory
- ☐ Other. Describe other factors _____
- ☐ No.

3.4.4 The Lead Agency may waive contributions/co-payments from families whose incomes are at or below the poverty level for a family of the same size (98.42(c)). Will the Lead Agency waive family contributions/co-payments for families whose incomes are at or below the poverty level?

- ☐ Yes, the Lead Agency waives family contributions/co-payments for families with income at or below the poverty level for families of the same size. The poverty level used by the Lead Agency for a family size of 3 is \$_____.
- ☒ No, the Lead Agency does not waive family contributions/co-payments.

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

- ☐ Limits the maximum co-payment per family. Describe _____
- ☐ Limits combined amount of copayment for all children to a percentage of family income. List the percentage of the copayment limit and describe _____
- ☒ Minimizes the abrupt termination of assistance before a family can afford the full cost of care ("the cliff effect") as part of the graduated phase-out of assistance discussed in 3.1.5. Describe [Graduated phase out period of 3 months at the point a family is determined to exceed 165% of FPL at the 12 month review period will be implemented by September 30, 2016.](#)
- ☐ Does not allow providers to charge families the difference between the maximum payment rate (addressed in section 4) and their private pay rate in addition to the copayment they are paying. Describe _____
- ☐ Covers all fees (such as registration, supplies, field trips) to minimize the additional fees charged to the families by the provider. Describe _____
- ☐ Other. Describe _____

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

The 2014 reauthorization of the CCDBG Act is designed to help States and Territories advance improvements to the quality of child care in order to promote the healthy social-emotional, cognitive and physical development of participating children. Ensuring that low-income and vulnerable children can access high-quality care (and remain enrolled to school entry and beyond) is an equally important purpose of CCDBG. Payment levels and policies have a major impact on access.

The CCDBG Act of 2014 revises the requirement for a market rate survey (MRS) so that: (1) it must be statistically valid and reliable; and (2) it must reflect variations in the cost of child care services by

geographic area, type of provider, and age of child. Also, a State/Territory may develop and conduct an alternative methodology for setting payment rates, such as a cost estimation model, to take into account the cost of meeting quality requirements.

To provide stability of funding and encourage more child care providers to participate in the subsidy program, the State/Territory's payment practices for CCDF child care providers must reflect generally accepted payment practices of non-CCDF child care providers in the State/Territory, such as paying for supplies, field trips, registration fees. In addition, to the extent practicable, the State/Territory must implement enrollment and eligibility policies that support the fixed costs of providing child care services by delinking provider payments from a child's occasional absence due to holidays or unforeseen circumstances such as illness or closures due to emergency.

The CCDBG Act of 2014 added a provision that the State/Territory must also develop and implement strategies to increase the supply and improve the quality of child care services for: (1) children in underserved areas; (2) infants and toddlers; (3) children with disabilities (the CCDBG Act of 2014 added a new definition of child with disability (658(P)(3)); and (4) children who receive care during non-traditional hours. With respect to investments to increase access to programs providing high-quality child care and development services, the State/Territory must give priority to children of families in areas that have significant concentrations of poverty and unemployment and that do not have such programs. (658 E(c)(2)(M))

4.1 Parental Choice In Relation to Certificates, Grants or Contracts

The parent(s) of each eligible child who receive(s) or is offered financial assistance for child care services has the option of either enrolling such child with a provider that has a grant or contract for the provision of service or receiving a child care certificate. (658E(c)(2)(A)) This did not change under the CCDBG Act of 2014.

- 4.1.1** Describe how the parent of each eligible child is advised that the Lead Agency offers the option of selecting a provider that has a grant or contract or receiving a child care certificate (658E(c)(2)(A)(i), 658P(2))

Parents are informed of the process of receiving a child care certificate via the following:

- Consumer education materials (flyers, forms, and brochures);
- The DES Child Care Administration website at: https://www.azdes.gov/az_child_care/
- Verbal communication at the time of application;
- Referral to Child Care Resource & Referral (CCR&R); and
- The CCR&R website at: www.azchildcare.org

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

☐ Certificate form provides information about the choice of providers, including high quality providers

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

Parents are informed of the process of receiving a child care certificate via the following:

- Consumer education materials (flyers, forms, and brochures);
- The DES Child Care Administration website at: https://www.azdes.gov/az_child_care/
- Verbal communication at the time of application;
- Referral to Child Care Resource & Referral (CCR&R); and
- The CCR&R website at: www.azchildcare.org

4.1.3 Child Care Services Available through Grants or Contracts

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

- ☐ Yes. If yes, **describe:**
- o the type(s) of child care services available through grants or contracts _____
 - o the entities who receive contracts (e.g., shared services alliances, child care resource and referral agencies, family child care networks, community based agencies, child care providers, etc.) _____
 - o the process for accessing grants or contracts _____
 - o the range of providers available through grants or contracts _____
 - o how rates for contracted slots are set through grants and contracts _____
 - o how the State/Territory determines which entities to contract with for increasing supply and/or improving quality _____
 - o if contracts are offered statewide and/or locally _____
- ☒ No. If no, skip to 4.1.4.

- b) Will the Lead Agency use grants or contracts for child care services to achieve any of the following (check all that apply):

- ☐ Increase the supply of specific types of care with grants or contracts for:

- ☐ Programs to serve children with disabilities
- ☐ Programs to serve infants and toddlers
- ☐ Programs to serve school-age children
- ☐ Programs to serve children needing non-traditional hour care
- ☐ Programs to serve homeless children
- ☐ Programs to serve children in underserved areas
- ☐ Programs that serve children with diverse linguistic or cultural backgrounds
- ☐ Programs that serve specific geographic areas
 - ☐ Urban
 - ☐ Rural
 - ☐ Other. Describe _____
- ☐ Improve the quality of child care programs with grants or contracts for:
 - ☐ Programs providing comprehensive services, such as integrated child care in Head Start, Early Head Start, summer or other programs
 - ☐ Programs meeting higher quality standards, such as higher rated QRIS programs, accreditation or state pre-k programs that meet higher quality standards
 - ☐ Programs that provide financial incentives to teaching staff linked to higher education and qualifications link increased education requirements to higher compensation
 - ☐ Programs to serve children with disabilities or special needs
 - ☐ Programs to serve infants and toddlers
 - ☐ Programs to serve school-age children
 - ☐ Programs to serve children needing non-traditional hour care
 - ☐ Programs to serve homeless children
 - ☐ Programs to serve children in underserved areas
 - ☐ Programs that serve children with diverse linguistic or cultural backgrounds
 - ☐ Programs that serve specific geographic areas
 - ☐ Urban
 - ☐ Rural
 - ☐ Other. Describe _____

4.1.4 The Lead Agency certifies policies and procedures are in place that afford parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds. (658E(c)(2)(B)) This requirement did not change under the CCDBG Act of 2014. Describe the policies and procedures for unlimited access [All child care providers must have a Registration Agreement with CCDF Lead Agency in order to facilitate payment to that provider. By signing the Registration Agreement, the provider agrees to allow access by parents, guardians, or their authorized representatives to all areas of the facility where child care is provided at any time during the provider's hours of operation and whenever the children are in the care of the provider. Additionally, in the state statute and rule governing the health and safety of child care centers and group homes, the Arizona Department of Health Services requires facilities to allow parents, guardians or authorized representatives to have immediate access.](#)

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

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

☐ Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act. Describe _____

☒ Restricted based on provider meeting a minimum age requirement. Describe

[A certified in-home provider must be at least 18 years of age.](#)

☐ Restricted based on hours of care (certain number of hours, non-traditional work hours). Describe _____

☐ Restricted to care by relatives. Describe _____

☐ Restricted to care for children with special needs or medical condition. Describe _____

☒ Restricted to in-home providers that meet some basic health and safety requirements. Describe [In-home providers must be CCDF Lead Agency certified \(unless they are relatives of the child needing care\); in-home providers must also obtain fingerprint clearance cards, pass criminal background checks, and child abuse registry checks.](#)

☐ Other. Describe _____

☐ No

4.2 Assessing Market Rates and Child Care Costs

The new law revises the provisions for a market rate survey (MRS) so that: (1) it must be statistically valid and reliable; and (2) it must reflect variations in the price to parents of child care services by geographic area, type of provider, and age of child (658E(c)(4)(B)). A State/Territory has the option to develop and use a statistically valid and reliable alternative methodology for setting payment rates, such as a cost estimation

model. Any payment rates established using an alternative methodology or market rate survey must be reviewed and approved by ACF as part of the CCDF Plan review process. Because the alternative methodology is a new basis for setting payment rates, we highly recommend any State or Territory considering an alternative methodology to submit a description of its proposed approach to the ACF Regional Office in advance of the Plan submittal in order to avoid delays with Plan approval (see <http://www.acf.hhs.gov/programs/occ/resource/ccdf-reauthorization-faq>).

The MRS or alternative methodology must be developed and conducted no earlier than two years before the date of submission of the Plan (instead of two years before the effective date of the Plan, as previously required for the MRS).

The State must consult with the State Advisory Council (SAC) or other state- or state-designated cross-agency body if there is no SAC, local child care program administrators, local child care resource and referral agencies, and other appropriate entities prior to developing and conducting the MRS or alternative methodology.

The State/Territory must prepare a detailed report containing the results of the MRS or alternative methodology. The State must make the report with these results widely available no later than 30 days after completion of the report, including posting the results on the Internet in an easily interpretable and understandable form.

The State/Territory must set CCDF subsidy payment rates in accordance with the results of the current MRS or alternative methodology. When setting payment rates, the law requires States and Territories to take into consideration the cost of providing higher quality child care services than were provided prior to November 2014 (e.g., tiered reimbursement or other methods) and without, to the extent practicable, reducing the number of families receiving CCDF relative to the number served as of November 2014. In taking the cost of providing quality into consideration, it is important to consider such key factors as what it takes to support increased stability and reduced provider turnover when setting payment rates.

4.2.1 Developing and Conducting a Market Rate Survey (MRS) and/or an Alternative Methodology. Did the State/Territory conduct a statistically and valid and reliable MRS, alternative methodology or both between July 1, 2013 and March 1, 2016?

- ☒ MRS
- ☐ Alternative Methodology. Describe _____
- ☐ Both. Describe _____
- ☐ Other. Describe _____

4.2.2 Describe how the State consulted with the State Advisory Council (SAC) or other state- or state-designated cross-agency body if there is no SAC, local child care program administrators, local child care resource and referral agencies, and other appropriate entities which could include worker organizations prior to developing and conducting the MRS or alternative methodology. The Arizona Early Childhood and Development Health Board (First Things First) has been designated as the State Advisory Council. The Department of Economic Security (Department) has been designated through state statute as a mandatory member of the First Things First Board. Also, the Chief Program Officer for First Things First sits on the Department of Economic Security Child Care Advisory Committee. The Child Care Advisory Committee is the primary vehicle for coordinating with representatives of general-purpose local government. For issues related to ongoing service delivery, including coordination of the Market Rate Survey, the CCDF Lead Agency meets with the meets with First Things First as necessary. The Child Care Advisory Committee includes individuals that represent statewide organizations with local affiliations, tribes, cities, and councils of governments that administer federal early childhood services.

4.2.3 Describe how the market rate survey or alternative methodology is statistically valid and reliable. To be considered valid and reliable, the MRS or alternative methodology must represent the child care market, provide complete and current data, use rigorous data collection procedures, reflect geographic variation, and analyze data in a manner that captures other relevant differences. For example, market rate surveys can use administrative data such as child care resource and referral data if they are representative of the market. If an alternative methodology such as cost modeling is used, demonstrate that the methodology used reliable models that estimated the cost of delivering services in center- and home-based settings at each level of quality defined by the State/Territory.

The Department of Economic Security (Department) has designated six sub-state areas, or Districts. Each District represents a county or group of counties. The Department utilizes these Districts for planning, service delivery and in conducting its field operations. Each District is an area with unique needs based upon geographic proximity or other common characteristics. They are also similar to those used by the Arizona Council of Governments. The following counties define these Districts:

District I - Maricopa

District II - Pima

District III - Apache, Coconino, Navajo & Yavapai

District IV - La Paz, Mohave & Yuma

District V - Gila & Pinal

District VI - Cochise, Graham, Greenlee & Santa Cruz

The Department contracted with the Maricopa County Office of Research and Reporting to conduct the Child Care Market Rate Survey (survey). The Maricopa County Office of Research and Reporting is an independent credentialed organization with strong survey research skills. They are recognized by the American Association of Public Opinion Researchers and are also a member of the National Field Director's Association, which is a scientific data collection forum with members such as the U.S. Census Bureau, National Institute of Health and many major universities.

Due to the complexity of the survey, to help ensure that the most accurate data was obtained and to attain a high response rate a telephone survey methodology was used. Interviewers read a questionnaire and responses were entered into a data base. This method of surveying allowed for the collection of necessary data as reported by providers and corresponded with the need to gather complex rate information by age categories and by category of care. The Maricopa County Office of Research and Reporting conducted the market rate survey in both English and Spanish.

Consistent with past surveys, all identifiable providers were surveyed rather than selecting a random sample. The basis for this approach is because a complete census is more reliable than a sample as there is no chance of a sampling error. Additionally, in some areas of the state, obtaining a sufficiently large and representative sample is not possible.

Sources of provider names and telephone numbers which were utilized included:

- The Department database of certified family homes that provide child care services to families eligible for child care assistance;
- The Department of Health Services' database of licensed child care centers (including "preschools" required to be licensed as child day care centers) and certified child care group homes;
- Listings obtained from non-profit sponsors who approve child care homes to participate in the Arizona Department of Education's federal Child and Adult Care Food Program (CACFP); and
- Lists of otherwise unregulated homes registered with the state contracted Child Care Resource & Referral (CCR&R) agencies.

Initially the various sources identified 5,098 possible child care providers in the state. Providers that were listed on more than one list, not providing care, not charging for their services, or were unable to be interviewed due to invalid and nonexistent telephone numbers were eliminated from this total.

This resulted in a list of 3,755 childcare providers, of which 99% were interviewed. A total of 3,726 child care providers (1,765 licensed centers, 1,552 approved family homes, 280 certified group homes and 129 unregulated homes listed with CCR&R) were interviewed for this survey.

The survey was conducted between March and June 2014. As with any survey, there is a margin of error due to reasons such as the respondents' interpretations of the questions asked, their understanding of the purpose of the survey and resultant usage of the data compiled.

Prior to the start of the survey, all sources that supplied provider information were notified that they could direct any questions that came to them, regarding the survey, to the Department of Economic Security. At the onset of each telephone interview, providers were advised that specific individual information would be kept confidential and would not be used for any purpose other than identifying local market information. Individual providers were given a telephone number, which they could use to call the surveyor back if necessary. They were also provided with a telephone number of the CCDF Lead Agency contact if they had any other questions.

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

a) Geographic area (e.g., statewide or local markets) All available child care providers in all six Districts of the state were surveyed; data has been compiled according to Arizona's six Districts.

b) Type of provider All provider types within the six Districts of the state were surveyed; data has been compiled according to provider type within Arizona's six Districts.

c) Age of child Market rate survey data addressed the rates charged by provider type within each of Arizona's six Districts for the 4 following age ranges of the child:

- Children under one;
- One and two year olds;
- Three, four, and five year olds; and
- School age children

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

- Whether there is a discount for a second child; or
- Whether late night, all night, weekend care, or extended care are provided.

4.2.5 Describe the process used by the State/Territory to prepare a detailed report containing the results and make the report widely available to the public.

a) Date of completion of the market rate survey or alternative methodology (must be no earlier than July 1, 2013 and no later than March 1, 2016) October 1, 2014

b) Date report containing results was made widely available, no later than 30 days after the completion of the report The 2014 Market Rate Survey was posted on the CCDF Lead Agency website on November 1, 2014.

- c) How the report containing results was made widely available and provide the link where the report is posted if available [Providers and members of the Child Care Advisory Committee were notified regarding completion of the 2014 Market Rate Survey and where they could view it, and it was posted on the CCDF Lead Agency website at https://des.az.gov/documents-center?qt-content-tab=1&cshs_field_dl_category_tid_reports=47](https://des.az.gov/documents-center?qt-content-tab=1&cshs_field_dl_category_tid_reports=47)

4.3 Setting Payment Rates

- 4.3.1** Provide the base payment rates and percentiles (based on current MRS or alternative methodology) for the following categories. The ages and types of care listed below are meant to provide a snapshot of categories on which rates may be based and are not intended to be comprehensive of all categories that may exist in your State/Territory or reflective of the terms that your State/Territory may use for particular ages. Please use the most populous geographic region (serving highest number of children). Note – If the payment rates are not set by the State/Territory, check here ☐. Describe how many jurisdictions set their own payment rates _____.

- a) Infant (6 months), full-time licensed center care in most populous geographic region
 - Rate \$30.20 per day unit of time (e.g., hourly, daily, weekly, monthly, etc.)
 - Percentile 8th
- b) Infant (6 months), full-time licensed FCC care in most populous geographic region
 - Rate \$20.00 per day unit of time (e.g., hourly, daily, weekly, monthly, etc.)
 - Percentile 70th
- c) Toddler (18 months), full-time licensed center care in most populous geographic region
 - Rate \$26.60 per day unit of time (e.g., hourly, daily, weekly, monthly, etc.)
 - Percentile 5th
- d) Toddler (18 months), full-time licensed FCC care in most populous geographic region
 - Rate \$20.00 per day unit of time (e.g., hourly, daily, weekly, monthly, etc.)
 - Percentile 64th
- e) Preschooler (4 years), full-time licensed center care in most populous geographic region
 - Rate \$23.80 per day unit of time (e.g., hourly, daily, weekly, monthly, etc.)
 - Percentile 5th
- f) Preschooler (4 years), full-time licensed FCC care in most populous geographic region
 - Rate \$18.00 per day unit of time (e.g., hourly, daily, weekly, monthly, etc.)
 - Percentile 54th
- g) School-age child (6 years), full-time licensed center care in most populous geographic region
 - Rate \$23.40 per day unit of time (e.g., hourly, daily, weekly, monthly, etc.)
 - Percentile 12th
- h) School-age child (6 years), full-time licensed FCC care in most populous geographic region
 - Rate \$17.00 per day unit of time (e.g., hourly, daily, weekly, monthly, etc.)

- Percentile [57th](#)
- i) Describe the calculation/definition of full-time care [Full time care is defined as six or more hours per day.](#)
- j) Provide the effective date of the payment rates [Effective for services provided on or after April 1, 2009](#)
- k) Provide the link to the payment rates
https://des.az.gov/sites/default/files/legacy/dl/child_care_max_reimbursement_rates_0.pdf/

4.3.2 States and Territories may choose to set base payment rates that differ because they take into consideration such factors as 1) geographic location, 2) age of child, 3) needs of children (special needs, protective services, etc.), 4) non-traditional hours of care, or 5) quality of care. In other words, base rates for infants may be set at a higher level than for school-age care because the cost of providing infant care tends to be higher than school-age care. In addition to these rates that differ tied to market variations in prices, States and Territories can choose to establish tiered rates or add-ons on top of these variable base rates as a way to increase payment rates for targeted needs (i.e., higher rate for special needs children as both an incentive for providers to serve children with special needs and as a way to cover the higher costs to the provider to provide care for special needs children).

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

- ☐ Tiered rate/rate add-on for non-traditional hours. Describe _____
- ☐ Tiered rate/rate add-on for children with special needs as defined by the State/Territory. Describe [Through the establishment of contracts awarded through a competitive Request for Proposal process, an enhanced child care certificate rate is paid to selected programs that serve children with special child care needs. These programs may provide additional staffing, materials, equipment, curriculum, schedules, environments, family involvement, and program evaluation that ensure each child's capabilities and needs are met.](#)
- ☐ Tiered rate/rate add-on for infants and toddlers (do not check if you have a different base rate for infants/toddlers with no separate bonus or add-on). Describe _____
- ☐ Tiered rate/rate add-on for programs meeting higher quality as defined by the State/Territory. Describe _____

[The Department of Economic Security \(Department\) has utilized an Enhanced Rate for Accredited Programs starting in August, 1999. The intent of the Enhanced Rate is two-fold: 1\) to make higher quality \(accredited\) child care slots available to CCDF subsidized children whose parents may not be able to afford this care; and 2\) to encourage more providers to](#)

become accredited. This allows children whose parents are eligible for child care subsidies to enroll in programs providing higher quality of care by reimbursing nationally accredited providers 10 percent higher than the Department maximum rates.

All types of regulated child care programs are included in the tiered reimbursement system (Child Care Centers, Family Child Care Homes, and School-Aged Child Care Programs). The Department adopted the State Board of Education's approved list of center-based accreditation bodies used for the Arizona Department of Education, At-Risk Preschool programs. These include:

- ACSI - Association for Christian Schools International
- AMI - American Montessori International
- AMS - American Montessori Society
- NAC - National Accreditation Commission for Early Care & Education Programs
- NAEYC - National Association for the Education of Young Children, Academy for Early Childhood Program Accreditation
- NECPA - National Early Childhood Program Accreditation

The Department, in consultation with the Child Care Advisory Committee, adopted additional standards that are more specific to home based programs and school age. They include the following:

- NAFCC - National Association for Family Child Care
- CDA - National Child Development Associate Credential with a specialization in home providers
- COAA - Council on Accreditation Afterschool (formerly National After School Association)

- ☐ Tiered rate/rate add-on for programs serving homeless children. Describe _____
- ☐ Other tiered rate/rate add-on beyond the base rate. Describe _____
- ☐ None.

4.3.3 Describe how the State/Territory set payment rates for child care services in accordance with the results of the most recent market rate survey or alternative methodology [Arizona payment rates for child care services are not currently based upon the most recent market rate survey that was completed in 2014. Current payment rates are set at the 75th percentile of the 2000 Market Rate Survey. Arizona has established individual maximum payment rates for a full range of providers \(i.e., center, group home and home based care\) and families have access to and a choice of this range of child care providers. These rates further differentiate among ages of children in care, full and part day care and care provided in different geographic regions resulting in 144 unique maximum payment rates that are identified in Attachment 4.3.3.](#)

4.3.4 In setting payment rates, how did the State/Territory take into consideration the cost of providing higher quality child care services than were provided prior to November 2014 (e.g., tiered payment or other methods) and without, to the extent practicable, reducing the number of families receiving CCDF relative to the number of families served as of November 2014. For example, providing tiered payment with a sufficient differential to support higher quality, considering the cost of quality using a cost estimation model or other method, or examining the participation rate of high-quality providers in the subsidy system (e.g., using indicators from a quality rating system, accreditation or other state-defined indicators of quality) and adjusting payment rates if necessary. [The Department of Economic Security \(Department\) utilizes an Enhanced Rate for Accredited Programs that pays an additional ten percent above the base provider rate paid by the Department to providers that are nationally accredited. The Department adopted the State Board of Education's approved list of center-based accreditation bodies used for the Arizona Department of Education, At-Risk Preschool programs. These include:](#)

- [• ACSI - Association for Christian Schools International](#)
- [• AMI - American Montessori International](#)
- [• AMS - American Montessori Society](#)
- [• NAC - National Accreditation Commission for Early Care & Education Programs](#)
- [• NAEYC - National Association for the Education of Young Children, Academy for Early Childhood Program Accreditation](#)
- [• NECPA - National Early Childhood Program Accreditation](#)

[The Department, in consultation with the Child Care Advisory Committee, adopted additional standards that are more specific to home based programs and school age. They include the following:](#)

- [• NAFCC - National Association for Family Child Care](#)
- [• CDA - National Child Development Associate Credential with a specialization in home providers](#)

- [COAA - Council on Accreditation Afterschool \(formerly National After School Association\)](#)

4.4 Summary of Facts Used to Determine that Payments Rates Are Sufficient to Ensure Equal Access

The CCDF plan shall provide a summary of data and facts relied on by the State/Territory to certify that payment rates are sufficient to ensure equal access. (658E (c)(4)(A)) Equal access is not limited to a single percentile alone but is inclusive of various metrics or benchmarks that would offer children receiving CCDF access to the same services (type of care, quality of care) as children not receiving CCDF.

4.4.1 What data and facts did the State use to determine equal access (i.e., what is your metric or benchmark of equal access – such as percentile that rates cover or proportion of costs covered)? Check all that apply and describe.

- ☐ Payment rates are set at the 75th percentile or higher of the most recent survey. Describe _____
- ☒ Using tiered rates/differential rates as described in 4.3.3 to increase access for targeted needs. [The Department of Economic Security uses differential rates to pay for children with special needs, and also to reimburse at a higher rate for accredited programs.](#)
- ☐ Rates based on data on the cost to the provider of providing care meeting certain standards. Describe _____
- ☒ Data on the size of the difference (in terms of dollars) between payment rates and the 75th percentile in the most recent survey, if rates are below the 75th percentile. Describe [The dollar difference between Arizona's average payment rates and the 75th percentile of the 2014 Market Rate Survey are as follows:](#)

Licensed Centers

- [Less than 1 year old: current rate is \\$29.75; 75th percentile of 2014 MRS is \\$48.00; difference is \\$18.25 per day;](#)
- [1 year to 3 years old: current rate is \\$26.20; 75th percentile of 2014 MRS is \\$45.00; difference is \\$18.80 per day;](#)
- [3 years to less than 6 years old: current rate is \\$23.40; 75th percentile of 2014 MRS is \\$33.00; difference is \\$9.60 per day;](#)
- [6 years to less than 13 years old: current rate is \\$22.80; 75th percentile of 2014 MRS is \\$35.00; difference is \\$12.20 per day](#)

Licensed Group Homes

- [Less than 1 year old: current rate is \\$22.00; 75th percentile of 2014 MRS is \\$30.00; difference is \\$8.00 per day;](#)

- 1 year to 3 years old: current rate is \$20.00; 75th percentile of 2014 MRS is \$30.00; difference is \$10.00 per day;
- 3 years to less than 6 years old: current rate is \$20.00; 75th percentile of 2014 MRS is \$30.00; difference is \$10.00 per day;
- 6 years to less than 13 years old: current rate is \$18.00; 75th percentile of 2014 MRS is \$25.00; difference is \$7.00 per day

Certified Family Child Care Homes

- Less than 1 year old: current rate is \$20.00; 75th percentile of 2014 MRS is \$25.00; difference is \$5.00 per day;
- 1 year to 3 years old: current rate is \$18.00; 75th percentile of 2014 MRS is \$25.00; difference is \$7.00 per day;
- 3 years to less than 6 years old: current rate is \$18.00; 75th percentile of 2014 MRS is \$25.00; difference is \$7.00 per day;
- 6 years to less than 13 years old: current rate is \$17.00; 75th percentile of 2014 MRS is \$25.00; difference is \$8.00 per day

- Data on the proportion of children receiving subsidy being served by high-quality providers. Describe _____
- ☐ Data on where children are being served showing access to the full range of providers. Describe The majority of licensed centers and group homes statewide have Registration Agreements with the Department of Economic Security to accept CCDF eligible families. Thus, eligible families have access to all provider types on a statewide basis.

Currently, of all children receiving CCDF child care through the Lead Agency:
85.05 percent receive care in licensed child care centers;
4.79 percent receive care in certified group homes;
4.87 percent receive care in certified small family child care homes; and
5.29 percent receive care that is provided by unregulated relative providers.

- ☐ Data on how rates set below the 75th percentile allow CCDF families access to the same quality of care as families not receiving CCDF. Describe _____
- ☐ Feedback from parents, including parent survey or parent complaints. Describe A random sample of 5,000 families representing all eligibility categories (except protective services) and across all Department Districts received the 2015 customer survey. The random sample was drawn from families who received CCDF Lead Agency services in April 2014. The customer survey, cover letter and postage paid return envelope were mailed in June 2014.

A total of 561 responses were received representing a response rate of approximately 11%. Of the 561 respondents:

- 88% are satisfied with the child care provider that cares for their children.
- 82% drive to their child care provider.
- 82% agree the amount that they pay for child care is reasonable.
- 79% use a child care center; 15% use a family child care home; and 5% use a relative.
- 72% travel 30 minutes or less from home, to the child care provider and then to work, school or training.
- 26% ranked the location as the top choice for selecting their current child care provider;
- 23% ranked the child care environment as the top choice for selecting their current child care provider.

☐ Other. Describe _____

4.4.2 Does the State/Territory certify that payment rates are sufficient to ensure equal access either based on the current MRS or alternative methodology?

☐ Yes. The State/Territory certifies that payment rates are sufficient to ensure equal access by March 1, 2016. Provide the State/Territory definition of how its payment rates are sufficient to ensure equal access _____

☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016) September 30, 2016
- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) not yet started.
 - Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - Unmet requirement - Identify the requirement(s) to be implemented
 - Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify

agreements with coordinating agencies, etc.) [Submit Budget Request: the CCDF Lead Agency submitted a budget request to the Governor and Arizona State Legislature to increase rates by an average of 7.5 percent. This would move Arizona's rates from the 75th percentile of the 2000 Market Rate Survey to just over the 50th percentile of the 2004 Market Rate Survey. This request would increase rates while avoiding reducing the sustainable number of Low Income Working families that can be served.](#)

- Projected start date for each activity [September 1, 2015](#)
- Projected end date for each activity [September 30, 2016](#)
- Agency – Who is responsible for complete implementation of this activity [Department of Economic Security](#)
- Partners – Who is the responsible agency partnering with to complete implementation of this activity [Arizona State Legislature and Governor's Office](#)

4.5 Payment Practices and Timeliness of Payments

The CCDBG Act of 2014 added a provision that requires States and Territories to describe in the Plan how the State/Territory's payment practices for CCDF child care providers reflect generally accepted payment practices of non-CCDF child care providers in the State/Territory —so as to provide stability of funding and encourage more child care providers to participate in the subsidy program. To the extent practicable, the State/Territory must implement enrollment and eligibility policies that support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences due to holidays or unforeseen circumstances such as illness. (658E(c)(2)(S))

4.5.1 Describe the status of State/Territory's payment practices for CCDF child care providers that reflect generally accepted payment practices of non-CCDF child care providers in the State/Territory.

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. Describe using 4.5.2 through 4.5.3 below.
- ☐ Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
 - Overall Target Completion Date (no later than September 30, 2016) _____

- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
 - o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - Projected start date for each activity _____
 - Projected end date for each activity _____
 - Agency – Who is responsible for complete implementation of this activity _____
 - Partners – Who is the responsible agency partnering with to complete implementation of this activity _____

4.5.2 Describe how the payment practices to child care providers who serve CCDF-assisted children reflect generally accepted payment practices of other child care providers in the State/Territory to ensure stability of funding to encourage more child care providers to serve children who receive CCDF assistance. Check all that apply and describe. The Lead Agency ...

- ☐ Pays prospectively prior to the delivery of services. Describe _____
- ☐ Pays within no more than 21 days of billing for services. Describe _____
- ☐ Supports fixed costs of providing child care services by delinking provider payments from a child’s occasional absences by paying based on enrollment instead of attendance. Describe including the State/Territory’s definition of occasional absences _____
- ☐ Supports fixed costs of providing child care services by delinking provider payments from a child’s occasional absences by providing full payment if a child attends at least a certain percent of authorized time. Specify percent and describe _____
- ☐ Supports fixed costs of providing child care services by delinking provider payments from a child’s occasional absences by providing full payment if a child is absent for a certain number of days in a month. Specify the number of absence days allowed and paid for and describe [If a provider has a policy to collect money for absences from non-subsidized children, Arizona will pay for up to two paid absence days per month per child.](#)
- ☐ Pays on a full-time or part-time basis (rather than smaller increments such as hourly) [CCDF funded child care services are authorized on a full and part day basis \(6 or more hours of care constitutes a full day and less than 6 hours is a part day\). The service authorization amount has been standardized at 23 full and part day units](#)

per month. Providers can bill for the actual number of full and part days utilized per child per month plus up to two paid absences.

- ☐ Pays for standard and customary fees that the provider charges private-paying parents (e.g., registration fees, deposits, supplies, field trips, etc.) _____
- ☐ Provides prompt notice to providers regarding any changes to the family's eligibility status that may impact payment Automated notices are generated to the CCDF authorized provider immediately whenever a change is made in the automated system regarding the amount of service authorized, fee level/co-payment, or the start or stop of service for each individual child. Negative changes which affect the family or provider cannot be made retroactively; 10 days' advance notice is required prior to the effective date of any negative action. Certain negative actions (e.g., fee level/copayment increases or service authorization amount decreases) can only be made on the first of the following month, after receipt of a 10-day negative action notice.
- ☐ Has a timely appeal and resolution process for payment inaccuracies and disputes. Describe Payment inaccuracies due to keying errors take top priority and are handled by the Payment Processing Unit Supervisor within 1 business day of discovering the error. When a payment dispute arises, the Certification Unit (for Certified Homes) and the Contracts Unit (for Contracted Group Homes or Centers) are responsible for resolving the dispute or appeal. The assigned Contract Administrator or Certification Worker will work with the provider to ensure all monies due to the provider are paid timely.
- ☐ Other. Describe Providers are allowed to charge registration fees, transportation fees, and additional incidental fees such as field trips and supplies. Providers are allowed to charge for meals.
Additionally, providers are allowed to charge families the difference between their contracted subsidy reimbursement rate and their actual charges.
- ☐ For those options not checked above, explain why these options are not generally accepted payment practices in your State/Territory _____

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

- ☐ Policy on length of time for making payments. Describe length of time

Per state statute and as cited in the child care subsidy contract, the Department of Economic Security has 30 days to issue payment, after the receipt of correctly completed billing information.

- ☐ Track and monitor the payment process [System reports are set up to ensure providers are paid timely. Monthly, internal audits are conducted in the Payment and Processing Unit to ensure providers are paid accurately and timely.](#)
- ☐ Use of electronic tools (e.g., automated billing, direct deposit, etc.) Describe [Arizona has mandated through the subsidy contracts that all payments made to regulated child care providers will be paid through direct deposit. Child care providers also have the capability to submit their billings electronically. These bills are entered either from a Child Care Local Office or from the provider's location via the Internet.](#)
- ☐ Other. Describe _____

4.6 Supply Building Strategies to Meet the Needs of Certain Populations

The CCDBG Act of 2014 added a provision that the State/Territory will develop and implement strategies to increase the supply and improve the quality of child care services for children in underserved areas, infants and toddlers, children with disabilities, and children who receive care during non-traditional hours. (658 E(c)(2)(M))

4.6.1 Has the State/Territory conducted data analysis of existing and growing supply needs?

- ☐ Yes. Describe data sources [The Department of Economic Security \(Department\) uses Geographic Information Systems \(GIS\) mapping to determine where the concentrations of high quality \(Quality First three through five star providers as well as nationally accredited providers\) are, GIS mapping of where CCDF authorized children reside, and also where high concentrations of poverty and unemployment are, to determine where to focus supply building efforts.](#)

[The Department uses this information to focus home recruitment efforts in local communities throughout the state.](#)
- ☐ No. If no, how does the State/Territory determine most critical supply needs? _____

4.6.2 Describe what method(s) is used to increase supply and improve quality for:

- a) Infants and toddlers (check all that apply)
 - ☐ Grants and contracts (as discussed in 4.1.3)
 - ☐ Family child care networks
 - ☐ Start-up funding
 - ☒ Technical assistance support
 - ☒ Recruitment of providers

☐ Tiered payment rates (as discussed in 4.4.1)

☐ Other. Describe _____

b) Children with disabilities (check all that apply)

☐ Grants and contracts (as discussed in 4.1.3)

☐ Family child care networks

☐ Start-up funding

☐ Technical assistance support

☒ Recruitment of providers

☒ Tiered payment rates (as discussed in 4.4.1)

☐ Other. Describe _____

c) Children who receive care during non-traditional hours (check all that apply)

☐ Grants and contracts (as discussed in 4.1.3)

☐ Family child care networks

☐ Start-up funding

☐ Technical assistance support

☒ Recruitment of providers

☐ Tiered payment rates (as discussed in 4.4.1)

☐ Other. Describe _____

d) Homeless children (check all that apply)

☒ Grants and contracts (as discussed in 4.1.3)

☐ Family child care networks

☒ Start-up funding

☒ Technical assistance support

☒ Recruitment of providers

☐ Tiered payment rates (as discussed in 4.4.1)

☐ Other. Describe _____

4.6.3 The CCDBG Act of 2014 requires States to describe the procedures and process it uses, in terms of the investments made to increase access to programs providing high quality child care and development services, to give priority for those investments to children in families in areas that have significant concentrations of poverty and unemployment and that do not have such high-quality programs. (658E(c)(2)(Q)) Describe the status of State/Territory's process and procedures

to give priority for investments to children and families from areas with high concentrations of poverty and unemployment that do not have high-quality programs.

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. Describe _____
 - ☐ Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
- Overall Target Completion Date (no later than September 30, 2016) [September 30, 2016](#)
 - Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [partially implemented](#)
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable [The Arizona Department of Economic Security is in the process of using Geographic Information Systems \(GIS\) mapping to determine where the concentrations of high quality \(Quality First three through five star providers as well as nationally accredited providers\) are located; GIS mapping of where the CCDF authorized children reside, and also where high concentrations of poverty and unemployment are within the state. This information will be used in assisting the CCDF Lead Agency in prioritizing investments to children and families from areas with high concentrations of poverty and unemployment that do not have access to high-quality programs.](#)
 - o Unmet requirement - Identify the requirement(s) to be implemented [Arizona does not currently prioritize investments specifically targeting the development of high quality licensed centers, certified group homes or certified family homes based on concentrations of poverty and unemployment.](#)
 - o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
 - [a\) Complete GIS mapping](#)
 - [b\) Analyze GIS data to prioritize areas in the state to give priority for investments to children and families in areas that have significant concentrations of poverty and unemployment and that do not have such high-quality programs.](#)

- c) [In coordination with other state agencies and the Child Care Advisory Committee, complete a Needs Assessment and Gap Analysis of existing CCDF strategies available to child care centers \(i.e., Arizona Self Study Project\) to improve quality and existing strategies available through other agencies, such as First things First Health and Development Board \(i.e., Quality First\), and the Arizona Department of education \(i.e., Preschool Development Grant, Early Head Start-Child Care Initiatives\) that may be leveraged to assist the Department in utilizing existing resources. Identify gaps in existing strategies and identify processes that the Department can develop using CCDF funds.](#)
- d) [Identify and target specific investment strategies, including using CCDF funds to cover the cost of Quality First or National Accreditation, to increase parents access to high quality child care in the areas in the state with high concentration of poverty and employment.](#)
- e) [Determine activities, timelines and resources needed to implement the investment strategies, including revising contracts, revising or developing existing MOUs or IGAs with other state agencies or community partners.](#)
- f) [Implement prioritized investment strategies](#)
- Projected start date for each activity
 - a) [Complete GIS Mapping: December 15, 2015](#)
 - b) [Review and Analysis of GIS data: January 15, 2016](#)
 - c) [Needs Assessment and Gap Analysis: March 1, 2016](#)
 - d) [Identify and prioritize specific investment strategies: April 1, 2016](#)
 - e) [Activities, timelines and resources needed: May 1, 2016](#)
 - f) [Implementation: September 30, 2016](#)
- Projected end date for each activity
 - a) [GIS mapping: January 15, 2016](#)
 - b) [Review and Analysis of GIS data: February 15, 2016](#)
 - c) [Needs Assessment and Gap Analysis: April 1, 2016](#)
 - d) [Identify and prioritize specific investment strategies: June 30, 2016](#)
 - e) [Activities, timelines and resources needed: July 15, 2016](#)
 - f) [Implementation: September 30, 2016](#)
- Agency – Who is responsible for complete implementation of this activity [Arizona Department of Economic Security](#)
- Partners – Who is the responsible agency partnering with to complete implementation of this activity [Arizona Early Childhood Development and Health Board \(First Things First\) Arizona Department of Education, Child Care Resource & Referral \(CCR&R\)](#)

5 Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings

The CCDBG Act of 2014 makes child care safer by defining minimum health and safety requirements for child care providers. This includes both the standards that must be established and the pre-service/orientation and ongoing minimum training required. States and Territories must also explain why exemptions to any of the licensing standards do not endanger the health and safety of CCDF children in license-exempt care. States and Territories are required to have standards for CCDF providers regarding group size limits and appropriate child-to-provider ratios based on the age of children in child care.

Pre-licensure and annual unannounced inspections of licensed CCDF providers and annual inspections of license-exempt CCDF providers are now required. The CCDBG Act of 2014 requires States and Territories to establish qualifications and training for licensing inspectors and appropriate inspector-to-provider ratios. It also requires States and Territories to conduct criminal background checks for all child care staff members, including staff members who don't care directly for children but have unsupervised access to children and lists specific disqualifying crimes. States and Territories must certify that all child care providers comply with child abuse reporting requirements of Child Abuse Prevention and Treatment Act (CAPTA), mandatory reporting of known and suspected instances of child abuse and neglect).

5.1 Licensing Requirements and Standards

Each State/Territory is required to certify it has in effect licensing requirements applicable to all child care services provided within the State/Territory (not restricted to providers receiving CCDF), and to provide a detailed description of such requirements and how such requirements are effectively enforced. (658E(c)(2)(F) Nothing in the statute prohibits the State/Territory from exempting child care providers from licensing requirements. But, if the State/Territory exempts any child care providers from State/Territory licensing requirements, the CCDBG Act of 2014 requires States and Territories to describe how such licensing exemptions do not endanger the health, safety, and development of children receiving CCDF who are cared for by the license-exempt providers. (658E(c)(2)(F)(ii))

- 5.1.1** The State/Territory certifies that it has licensing requirements applicable to all child care services provided within the State. (658(c)(2)(F)) This requirement did not change under the CCDBG Act of 2014. List the categories of care that your State/Territory licenses and provide your definition of each licensed category of care

[The Arizona Department of Health Services \(DHS\) is responsible for the licensing of child care centers and for the certification of child care group homes. Both the licensing requirements for child care centers as well as certification requirements for child care group homes, that are the responsibility of Department of Health Services, serve as the CCDF health and safety requirements in Arizona.](#)

Categories of care licensed or certified by Department of Health Services include the following:

Center Based Care: Any facility regularly caring for five or more children for compensation not related to the proprietor within the state of Arizona.

Group Home Child Care: Any home caring for 5 or more children for compensation unaccompanied by a parent or guardian on a regular basis.

5.1.2 Does your State/Territory exempt any child care providers that can receive CCDF from its licensing requirements?

- ☐ Yes. Describe which types of providers that can receive CCDF are exempt from licensing and how such exemptions do not endanger children who receive CCDF services from license-exempt providers

Small Family Child Care Homes

- Small family child care homes (including in-home care), which are defined as caring for fewer than five children for compensation at any one time, are exempt from Department of Health Services licensing requirements. Small family child care homes are required to be certified by the Lead Agency, the Arizona Department of Economic Security (DES), unless they are blood relatives.
- Department of Economic Security maintains the responsibility for the certification of small family child care homes (including in-home care) as well as oversight for unregulated non-certified relative providers. Department of Economic Security certification requirements for small family child care homes (including in-home care) serve as the CCDF health and safety requirement for these categories of providers.

Non-Certified Relative Providers

Providers who are grandparents (including great-grandparents), aunts, and uncles, (including great-aunts and great-uncles) or siblings (who are not otherwise required), may choose not to meet health and safety requirements. These providers are referred to as Non-Certified Relative Providers (NCRP). Regardless of whether they care for children in their own home or in the children's home, Non-Certified Relative Providers are not subject to licensing. They are however, subject to the following health and safety requirements:

- The Non-Certified Relative Providers shall certify that they are not awaiting trial on and have never been convicted of or admitted committing any

criminal offenses specified in state statute and that they have not committed any act of sexual abuse of a child.

- The Non-Certified Relative Providers shall certify that they are not the parent or guardian of a child adjudicated to be a dependent child, as defined by state statute.
- The Non-Certified Relative Providers shall certify that they have not been denied for cause a license to operate a facility for the care of children in this or another state, nor had a license or certification to operate such a facility revoked.
- The Non-Certified Relative Providers shall also be in compliance with state statutory fingerprint requirements.
- The Non-Certified Relative Providers must pass a Department of Child Safety (DCS) background check.

Child Care Providers on Tribal or Military Land

Child care centers, group homes, and family child care homes based on Tribal or military land would be considered outside of the state of Arizona. Such facilities would be required to meet any applicable Tribal or military requirements and may be eligible to receive subsidies.

Child Abuse Registry Checks

In Arizona, all individuals who provide care for children must complete a child abuse registry check conducted by the Arizona Department of Child Safety (DCS), formerly known as Child Protective Services (CPS).

Criminal Background Checks

In Arizona, criminal background checks are conducted through the issuance of fingerprint clearance cards. Non-Certified Relative Providers are also subject to these checks. Fingerprint clearance cards are issued (which include an FBI criminal background check) upon entrance into the system and are valid for six years, at which time (if a renewal is sought) a new FBI background check is conducted. Additionally, cardholders are continually crosschecked against all arrests in Arizona. This activity is conducted by the Arizona Department of Public Safety. Arizona Revised Statutes 41-1758.07 describes the violations that would make a provider ineligible to receive a finger print clearance card as well as the process for appeal. A web-link to that statute is:

<http://www.azleg.gov/FormatDocument.asp?inDoc=/ars/41/01758-07.htm&Title=41&DocType=ARS>

☐ No

5.1.3 Describe the status of the State/Territory's development and implementation of child care standards for providers receiving CCDF that address appropriate ratios between the number of children and the number of providers and group size, in terms of the age of the children for each type of setting.
(658E(c)(2)(H))

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. Describe using 5.1.4 and 5.1.5 below.
- ☐ Not implemented. If not implemented, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
 - Overall Target Completion Date (no later than September 30, 2016)
[September 30, 2016](#)
 - Overall Status – Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)
[Partially implemented; group size has been defined but has not yet been incorporated into provider contracts.](#)
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented
[Group size must be established in provider contracts.](#)
 - o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
[Establish age appropriate group size, and incorporate into provider contracts effective July 1, 2016](#)
 - Projected start date for each activity
[November 1, 2015](#)
 - Projected end date for each activity
[July 1, 2016](#)
 - Agency – Who is responsible for complete implementation of this activity
[Department of Economic Security Child Care Administration](#)

- Partners – Who is the responsible agency partnering with to complete implementation of this activity

[Child Care Advisory Committee and Stakeholders](#)

5.1.4 Describe how the State/Territory child care standards for providers receiving CCDF address appropriate ratios between the number of children and the number of providers and group size, in terms of the age of the children for each type of setting. (658E(c)(2)(H))

a) Licensed Center-Based Care

1. Infant

- State/Territory age definition [A child 12 months of age or younger, or a child 18 months of age or younger who is not yet walking.](#)
- Ratio [1:5 or 2:11](#)
- Group size [11](#)

2. Toddler

- State/Territory age definition [A child over 12 months of age, but younger than 36 months.](#)
- Ratio [Ratio of 1-year-old children 1:6](#)
- Group size [12](#)
- Ratio [Ratio of 2-year-old children 1:8](#)
- Group size [16](#)

3. Preschool

- State/Territory age definition [A child that is at least 3 years of age, but has not yet started school.](#)
- Ratio [Ratio of 3 year olds is 1:13](#)
- Group size [26](#)
- Ratio [Ratio of 4 year olds is 1:15](#)
- Group size [30](#)
- Ratio [Ratio of 5 year olds is 1:20](#)
- Group size [40](#)

4. School-Age

- State/Territory age definition [A child that is at least 5 years of age, and has started school.](#)
- Ratio [1:20](#)
- Group size [40](#)

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

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

b) Licensed Group Child Care Homes:

1. Infant

- State/Territory age definition

A child 12 months of age or younger, or a child 18 months of age or younger who is not yet walking.

- Ratio 1:5
- Group size 10

2. Toddler

- State/Territory age definition
A child over 12 months of age, but younger than 36 months.
- Ratio 1:5
- Group size 10

3. Preschool

- State/Territory age definition
A child that is at least 3 years of age, but has not yet started school.
- Ratio 1:5
- Group size 10

4. School-Age

- State/Territory age definition
A child that is at least 5 years of age, and has started school.
- Ratio 1:5
- Group size 10

5. Describe the maximum number of children that are allowed in the home at any one time, if the State/Territory requires related children to be included in the child-to-provider ratio or group size, or the limits on infants and toddlers or additional school-age children that are allowed for part of the day

The total number of children present in a child care group home at any given time for whom compensation is received cannot exceed 10. The total number of children present in a child care group home at any given time, including children related to the provider, cannot exceed 15.

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

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

c) Licensed Family Child Care:

1. Describe the ratios , group size , the threshold for when licensing is required , maximum number of children that are allowed in the home at any one time , if the State/Territory requires related children to be included in the Child-to-Provider ratio or group size , or the limits on infants and toddlers or additional school-age children that are allowed for part of the day

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

For license exempt family child care homes that are certified by the Arizona Department of Economic Security:

- The Ratio is 1:6;
- Group Size is 6;
- The threshold when licensing is required is more than 4 for compensation;
- Maximum number of children allowed in the home at any one time is 6, including related children;
- Limit on infants or toddlers or additional school children that are allowed for part of the day: no more than 2 infants or toddlers.

d) Any other eligible CCDF provider categories:

Describe the ratios , group size , the threshold for when licensing is required , maximum number of children that are allowed in the home at any one time , if the State/Territory requires related children to be included in the child-to-provider ratio or group size , or the limits on infants and toddlers or additional school-age children that are allowed for part of the day

5.1.5 Describe how the State/Territory child care standards address required qualifications for providers appropriate to each type of setting, including the minimum age allowed, minimum education level, any specific content required related to the age of children. (658E(c)(2)(H))

a) Licensed Center-Based Care:

1. Infant lead teacher

The Arizona Administrative Code at A.A.C. R9-5-401 specifies teacher-caregiver qualifications as listed below:

The licensee shall ensure that staff members meet the following qualifications for employment or volunteer service at a facility:

A teacher-caregiver is 18 years of age or older and provides the licensee with documentation of one of the following:

- Six months of child care experience; and
- A high school diploma or high school equivalency diploma; or
- At least 12 credit hours from an accredited college or university, including at least six credit hours in early childhood, child development, or a closely-related field;
- Associate or bachelor degree from an accredited college or university in early childhood, child development, or a closely-related field; or
- N.A.C., C.D.A., or C.C.P. credential.

Additionally: any staff member who provides child care services to an infant must complete at least 6 additional credit hours or more on an annual basis in Infant

Growth and Development, which may include Sudden Infant Death Syndrome (SIDS) prevention.

2. and assistant teacher qualifications

The Arizona Administrative Code at A.A.C. R9-5-401 specifies assistant teacher-caregiver qualifications as listed below:

An assistant teacher-caregiver is 16 years of age or older and provides the licensee with documentation of one of the following:

- Current and continuous enrollment in high school or a high school equivalency class;
- High school or high school equivalency diploma;
- Enrollment in vocational rehabilitation, as defined in A.R.S. § 23-501;
- Employment as a teacher-caregiver aide for 12 months; or
- Service as a volunteer in a child care facility for 12 months;
- A teacher-caregiver aide is 16 years of age or older;
- A student-aide provides the licensee with documentation of participation in:
- An educational, curriculum-based course in child development, parenting, or guidance counseling; or
- A vocational education or occupational development program; and
- A volunteer is 15 years of age or older.

Additionally: any staff member who provides child care services to an infant must complete at least 6 additional credit hours or more on an annual basis in Infant Growth and Development, which may include Sudden Infant Death Syndrome (SIDS) prevention.

3. Toddler lead teacher

The Arizona Administrative Code at A.A.C. R9-5-401 specifies teacher-caregiver qualifications as listed below:

The licensee shall ensure that staff members meet the following qualifications for employment or volunteer service at a facility:

A teacher-caregiver is 18 years of age or older and provides the licensee with documentation of one of the following:

- Six months of child care experience; and
- A high school diploma or high school equivalency diploma; or
- At least 12 credit hours from an accredited college or university, including at least six credit hours in early childhood, child development, or a closely-related field;
- Associate or bachelor degree from an accredited college or university in early childhood, child development, or a closely-related field; or
- N.A.C., C.D.A., or C.C.P. credential.

4. and assistant teacher qualifications

The Arizona Administrative Code at A.A.C. R9-5-401 specifies assistant teacher-caregiver qualifications as listed below:

An assistant teacher-caregiver is 16 years of age or older and provides the licensee with documentation of one of the following:

- Current and continuous enrollment in high school or a high school equivalency class;
- High school or high school equivalency diploma;
- Enrollment in vocational rehabilitation, as defined in A.R.S. § 23-501;
- Employment as a teacher-caregiver aide for 12 months; or
- Service as a volunteer in a child care facility for 12 months;
- A teacher-caregiver aide is 16 years of age or older;
- A student-aide provides the licensee with documentation of participation in:
- An educational, curriculum-based course in child development, parenting, or guidance counseling; or
- A vocational education or occupational development program; and
- A volunteer is 15 years of age or older.

5. Preschool lead teacher

The Arizona Administrative Code at A.A.C. R9-5-401 specifies teacher-caregiver qualifications as listed below:

The licensee shall ensure that staff members meet the following qualifications for employment or volunteer service at a facility:

A teacher-caregiver is 18 years of age or older and provides the licensee with documentation of one of the following:

- Six months of child care experience; and
- A high school diploma or high school equivalency diploma; or
- At least 12 credit hours from an accredited college or university, including at least six credit hours in early childhood, child development, or a closely-related field;
- Associate or bachelor degree from an accredited college or university in early childhood, child development, or a closely-related field; or
- N.A.C., C.D.A., or C.C.P. credential.

6. and assistant teacher qualifications

The Arizona Administrative Code at A.A.C. R9-5-401 specifies assistant teacher-caregiver qualifications as listed below:

An assistant teacher-caregiver is 16 years of age or older and provides the licensee with documentation of one of the following:

- Current and continuous enrollment in high school or a high school equivalency class;
 - High school or high school equivalency diploma;
 - Enrollment in vocational rehabilitation, as defined in A.R.S. § 23-501;
 - Employment as a teacher-caregiver aide for 12 months; or
 - Service as a volunteer in a child care facility for 12 months;
 - A teacher-caregiver aide is 16 years of age or older;
 - A student-aide provides the licensee with documentation of participation in:
 - An educational, curriculum-based course in child development, parenting, or guidance counseling; or
 - A vocational education or occupational development program; and
 - A volunteer is 15 years of age or older.
7. School-Age lead teacher
- The Arizona Administrative Code at A.A.C. R9-5-401 specifies teacher-caregiver qualifications as listed below:
- The licensee shall ensure that staff members meet the following qualifications for employment or volunteer service at a facility:
- A teacher-caregiver is 18 years of age or older and provides the licensee with documentation of one of the following:
- Six months of child care experience; and
 - A high school diploma or high school equivalency diploma; or
 - At least 12 credit hours from an accredited college or university, including at least six credit hours in early childhood, child development, or a closely-related field;
 - Associate or bachelor degree from an accredited college or university in early childhood, child development, or a closely-related field; or
 - N.A.C., C.D.A., or C.C.P. credential.
8. and assistant teacher qualifications
- The Arizona Administrative Code at A.A.C. R9-5-401 specifies assistant teacher-caregiver qualifications as listed below:
- An assistant teacher-caregiver is 16 years of age or older and provides the licensee with documentation of one of the following:
- Current and continuous enrollment in high school or a high school equivalency class;
 - High school or high school equivalency diploma;
 - Enrollment in vocational rehabilitation, as defined in A.R.S. § 23-501;
 - Employment as a teacher-caregiver aide for 12 months; or
 - Service as a volunteer in a child care facility for 12 months;

- A teacher-caregiver aide is 16 years of age or older;
- A student-aide provides the licensee with documentation of participation in:
- An educational, curriculum-based course in child development, parenting, or guidance counseling; or
- A vocational education or occupational development program; and
- A volunteer is 15 years of age or older.

9. Director qualifications

The Arizona Administrative Code at A.A.C. R9-5-401 specifies director qualifications as listed below:

The licensee shall ensure that staff members meet the following qualifications for employment or volunteer service at a facility:

A facility director is 21 years of age or older and provides the licensee with documentation of one of the following:

- At least 24 months of child care experience, a high school or high school equivalency diploma, and:
- Six credit hours or more in early childhood, child development, or a closely-related field from an accredited college or university; or
- At least 60 actual hours of instruction, provided in conferences, seminars, lectures, or workshops in early childhood, child development, or a closely-related field, and an additional 12 hours of instruction, provided in conferences, seminars, lectures, or workshops in the area of program administration, planning, development, or management;
- At least 18 months of child care experience and:
- An N.A.C., C.D.A., or C.C.P. credential; or
- At least 24 credit hours from an accredited college or university, including at least six credit hours in early childhood, child development, or a closely-related field;
- At least six months of child care experience and an associate degree from an accredited college or university in early childhood, child development, or a closely-related field; or
- At least three months of child care experience and a bachelor degree from an accredited college or university in early childhood, child development, or a closely-related field.

b) Licensed Group Child Care Homes:

1. Infant lead teacher

The Arizona Administrative Code at A.A.C. R9-3-301 specifies Certified Group Home Provider Responsibilities as outlined below. A certificate holder shall designate a provider who:

1. Lives in the residence;
2. Is 21 years of age or older;
3. Has a high school diploma, high school equivalency diploma, associate degree, or bachelor degree;
4. Meets one of the following:
 - a. Has completed at least three credit hours in child growth and development, nutrition, psychology, or early childhood education;
 - b. Has completed at least 60 hours of training in child growth and development, nutrition, psychology, early childhood education, or management of a child care business; or
 - c. Has at least 12 months of child care experience; and
5. Has completed Department-provided orientation training that includes the Department's role in certifying and regulating child care group homes under A.R.S. Title 36, Chapter 7.1, Article 4 and A.A.C. R9-3.

2. and assistant qualifications

The Arizona Administrative Code at A.A.C. R9-3-301(D)(1) specifies Certified Group Home adult staff member responsibilities as outlined below.

1. An adult staff member with one of the following is on premises and acting on behalf of the provider when they are not present at the home:
 - a. Have at least 6 months of child care experience;
 - b. Two or more credit hours of child growth and development, nutrition, psychology, or early childhood education; or
 - c. At least 30 hours of training in child growth and development, nutrition, psychology, or early childhood education and
2. At least one adult staff member in addition to the provider or the staff member specified in subsection (d)(1) is on the premises with 6 or more enrolled children are at the home.

3. Toddler lead teacher

The Arizona Administrative Code at A.A.C. R9-3-301 specifies Certified Group Home Provider Responsibilities as outlined below. A certificate holder shall designate a provider who:

1. Lives in the residence;
2. Is 21 years of age or older;
3. Has a high school diploma, high school equivalency diploma, associate degree, or bachelor degree;

4. Meets one of the following:
 - a. Has completed at least three credit hours in child growth and development, nutrition, psychology, or early childhood education;
 - b. Has completed at least 60 hours of training in child growth and development, nutrition, psychology, early childhood education, or management of a child care business; or
 - c. Has at least 12 months of child care experience; and
 5. Has completed Department-provided orientation training that includes the Department's role in certifying and regulating child care group homes under A.R.S. Title 36, Chapter 7.1, Article 4 and A.A.C. R9-3.
4. and assistant qualifications
- The Arizona Administrative Code at A.A.C. R9-3-301(D)(1) specifies Certified Group Home adult staff member responsibilities as outlined below.
1. An adult staff member with one of the following is on premises and acting on behalf of the provider when they are not present at the home:
 - a. Have at least 6 months of child care experience;
 - b. Two or more credit hours of child growth and development, nutrition, psychology, or early childhood education; or
 - c. At least 30 hours of training in child growth and development, nutrition, psychology, or early childhood education and
 2. At least one adult staff member in addition to the provider or the staff member specified in subsection (d)(1) is on the premises with 6 or more enrolled children at the home.
5. Preschool lead teacher
- The Arizona Administrative Code at A.A.C. R9-3-301 specifies Certified Group Home Provider Responsibilities as outlined below. A certificate holder shall designate a provider who:
1. Lives in the residence;
 2. Is 21 years of age or older;
 3. Has a high school diploma, high school equivalency diploma, associate degree, or bachelor degree;
 4. Meets one of the following:
 - a. Has completed at least three credit hours in child growth and development, nutrition, psychology, or early childhood education;
 - b. Has completed at least 60 hours of training in child growth and development, nutrition, psychology, early childhood education, or management of a child care business; or
 - c. Has at least 12 months of child care experience; and

5. Has completed Department-provided orientation training that includes the Department's role in certifying and regulating child care group homes under A.R.S. Title 36, Chapter 7.1, Article 4 and A.A.C. R9-3.
6. and assistant qualifications
The Arizona Administrative Code at A.A.C. R9-3-301(D)(1) specifies Certified Group Home adult staff member responsibilities as outlined below.
 1. An adult staff member with one of the following is on premises and acting on behalf of the provider when they are not present at the home:
 - a. Have at least 6 months of child care experience;
 - b. Two or more credit hours of child growth and development, nutrition, psychology, or early childhood education; or
 - c. At least 30 hours of training in child growth and development, nutrition, psychology, or early childhood education and
 2. At least one adult staff member in addition to the provider or the staff member specified in subsection (d)(1) is on the premises with 6 or more enrolled children at the home.
7. School-Age lead teacher
The Arizona Administrative Code at A.A.C. R9-3-301 specifies Certified Group Home Provider Responsibilities as outlined below. A certificate holder shall designate a provider who:
 1. Lives in the residence;
 2. Is 21 years of age or older;
 3. Has a high school diploma, high school equivalency diploma, associate degree, or bachelor degree;
 4. Meets one of the following:
 - a. Has completed at least three credit hours in child growth and development, nutrition, psychology, or early childhood education;
 - b. Has completed at least 60 hours of training in child growth and development, nutrition, psychology, early childhood education, or management of a child care business; or
 - c. Has at least 12 months of child care experience; and
 5. Has completed Department-provided orientation training that includes the Department's role in certifying and regulating child care group homes under A.R.S. Title 36, Chapter 7.1, Article 4 and A.A.C. R9-3.
8. and assistant qualifications
The Arizona Administrative Code at A.A.C. R9-3-301(D)(1) specifies Certified Group Home adult staff member responsibilities as outlined below.

1. An adult staff member with one of the following is on premises and acting on behalf of the provider when they are not present at the home:
 - a. Have at least 6 months of child care experience;
 - b. Two or more credit hours of child growth and development, nutrition, psychology, or early childhood education; or
 - c. At least 30 hours of training in child growth and development, nutrition, psychology, or early childhood education and
2. At least one adult staff member in addition to the provider or the staff member specified in subsection (d)(1) is on the premises with 6 or more enrolled children are at the home.

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

c) Licensed Family Child Care home provider qualifications

d) Other eligible CCDF provider qualifications

The Arizona Administrative Code at A.A.C. R6-5-5202 specifies that certified family child care providers meet the following requirements, including:

1. Be at least 18 years of age;
2. Participate in required orientation and training;
3. Cooperate with pre-certification interviews and inspections;
4. Provide at least 3 character references;
5. Furnish a self-statement of physical and mental health;
6. Submit to a physical or psychological examination as required by the Department of Economic Security (DES) if questionable;
7. Submit the notarized criminal history certification form required by A.R.S. § 41-1964, and disclose whether they have committed any acts of child maltreatment or have been the subject of a Child Protective Service (Department of Child Safety) investigation.

In order to maintain certification, the Arizona Administrative Code at A.A.C. R6-5-5207 requires that the provider complete first aid and infant/child CPR training within 60 days following certification, and attend at least 6 hours of training per year in the following:

1. The Department's child care program, policies, and procedures;
2. Child health and safety, including recognition, control, and prevention of illness and disease;
3. Child growth and development;
4. Child abuse prevention, detection, and reporting;
5. Positive guidance and discipline;
6. Child nutrition;
7. Communication with families; family involvement;

8. [Developmentally appropriate practices; and](#)
9. [Other similar subjects designed to improve the provider's ability to provide child care.](#)

5.1.6 The CCDBG Act of 2014 added a new provision specifying that States and Territories must 1) establish health and safety requirements for providers serving children receiving CCDF assistance relating to matters included in the topics listed below, and 2) have pre-service or orientation training requirements, appropriate to the provider setting, that address these health and safety topics. (658E(c)(2)(I)(i)) This requirement is applicable to all child care providers receiving CCDF regardless of licensing status (licensed or license-exempt). The only exception to this requirement is for providers who are caring for their own relatives, as States have the option of exempting relatives from some or all CCDF health and safety requirements. When establishing these requirements, States are encouraged to consider the age of children and type of child care setting to ensure that they are appropriate to the health and safety needs of the children from birth through age 12 and the providers who care for them.

- a) The State/Territory certifies that it has health and safety requirements for providers receiving CCDF in the following areas:
 - Prevention and control of infectious diseases (including immunization)
 - Prevention of sudden infant death syndrome and use of safe sleeping practices
 - Administration of medication, consistent with standards for parental consent
 - Prevention of and response to emergencies due to food and allergic reactions
 - Building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic
 - Prevention of shaken baby syndrome and abusive head trauma
 - Emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a) (1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1))
 - Handling and storage of hazardous materials and the appropriate disposal of bio contaminants
 - Precautions in transporting children (if applicable)
 - First aid and cardiopulmonary resuscitation (CPR) certification
- ☐ Yes. The State/Territory certifies that it has health and safety requirements for CCDF providers in these areas as of March 1, 2016. Provide a citation and a link if available
- ☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not

cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016)
[September 30, 2016](#)
- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)
[Substantially implemented](#)
- o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable
[Health and safety standards are established, training has been developed and is available to providers.](#)
- o Unmet requirement - Identify the requirement(s) to be implemented
[Training requirement needs to be added to the provider contract.](#)
- Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
[Add the training requirement at provider contract renewal.](#)
 - o Projected start date for each activity [February 1, 2016](#)
 - o Projected end date for each activity [September 30, 2016](#)
 - o Agency – Who is responsible for complete implementation of this activity
[Department of Economic Security](#)
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity [Child Care Resource and Referral](#)
- b) The State/Territory certifies that it has pre-service (prior to initial service) or orientation (period from when service started) and ongoing training requirements, appropriate to the provider setting that address each of the requirements relating to the topic areas listed above. ACF expects these trainings will be part of a broader systematic approach and progression of professional development (as described in Section 6) within a State/Territory that will result in opportunities for child care providers to accumulate knowledge, competencies and credits toward eventual completion of a professional certification or higher education. The law does not specify a specific number of training or education hours but States and Territories are encouraged to consult with *Caring for our Children Basics* for best practices and recommended time needed to address these training requirements.
 - ☐ Yes. The State/Territory certifies that it has pre-service or orientation and ongoing training requirements appropriate to the provider setting that address each of the requirements relating to the topics listed above as of March 1, 2016.

Describe, including at a minimum 1) how the state/territory defines preservice or orientation period, 2) the minimum number of annual preservice or orientation hours required to meet these health, and safety requirements, and 3) ongoing training or education hours required to meet these health and safety requirements _____

- ☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
 - Overall Target Completion Date (no later than September 30, 2016)
[September 30, 2016](#)
 - Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)
[Substantially implemented](#)
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable
[Health and safety standards are established, training has been developed and is available to providers.](#)
 - o Unmet requirement - Identify the requirement(s) to be implemented
[Training requirement needs to be added to the provider contract.](#)
 - Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
[Add the training requirement at provider contract renewal.](#)
 - o Projected start date for each activity [February 1, 2016](#)
 - o Projected end date for each activity [September 30, 2016](#)
 - o Agency – Who is responsible for complete implementation of this activity
[Department of Economic Security](#)
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity
[Child Care Resource and Referral](#)

5.1.7 Does the State/Territory have health and safety requirements for any of the following optional areas?

- ☐ Nutrition (including age appropriate feeding). Describe

General Nutrition Standards and Meal Pattern Requirements for Children are adopted from USDA Child and Adult Food Program Standards, and are stipulated at A.A.C. R9-5-508 for Licensed Centers, at A.A.C. R9-3-406 for Licensed Group Homes, and at A.A.C. R6-5-5217 for Certified Family Child Care Homes.

☐ Access to physical activity. Describe

Age appropriate activities that promote small and large muscle development, require participation in structured physical activities, and develop physical coordination skills are required in licensed facilities in accordance with administrative rules at A.A.C.R9-5-501(C)(4) and A.A.C.R9-5-501(C)(5); in licensed group homes at A.A.C.R9-3-401(B)(3) and A.A.C.R9-3-401(B)(4); and certified family child care homes at A.A.C.R6-5-5209(A) and A.A.C.R6-5-5209(F).

Additionally, the Arizona Department of Health Services (DHS) Empower Program is a voluntary program reaching more than 200,000 children in licensed child care facilities throughout Arizona. These children are relying on Early Care and Education (ECE) professionals to provide a significant portion of their daily physical activity, nutrition and overall well-being. Recognizing the importance of child care settings in helping our youngest children get a healthy start, Department of Health Services has created the Empower Guidebook: Ten Ways to Empower Children to Live Healthy Lives. This guide is designed to help child care providers and Early Care and Education professionals implement the standards of the Empower Program. The Empower Guidebook is based on current science, public health research and national recommendations. By implementing the Empower Standards, a program will be supporting healthy relationships with food, encouraging physical activity, preventing exposure to tobacco and second-hand smoke, supporting sun safety and promoting healthy oral health practices so the children in care can develop a healthy foundation for optimal growth and development.

☐ Screen time. Describe

Administrative rules for licensed facilities at A.A.C. R9-5-501(C)(5), require dated lesson plans to be prepared and posted for each calendar week, and maintained on facility premises for 12 months after the lesson plan date and provides opportunities for each child to:

1. Gain a positive self-concept;
2. Develop and practice social skills;
3. Think, reason, question, and experiment;
4. Acquire language skills;
5. Develop physical coordination skills;
6. Participate in structured large muscle physical activity;
7. Develop habits that meet health, safety, and nutritional needs;

8. Express creativity;
9. Learn to respect cultural diversity of children and staff;
10. Learn self-help skills; and
11. Develop a sense of responsibility and independence;

If an activity in the lesson plan includes screen time, the duration of the screen time, in minutes, must be included in the lesson plan.

A.A.C. R9-5-504.1 prohibits screen time in any activity area where services are provided to a 1-year old child.

Administrative rules for licensed group homes at A.A.C. R9-3-401(B)(4) do not specifically regulate 'screen time', but do prescribe activities that are structured to meet the age and developmental level of each enrolled child, and are based upon a written weekly schedule that includes the following:

1. Routines, such as meals, snacks, and rest periods, that follow a familiar and consistent pattern;
2. If weather and air quality permit, outdoor activities to enhance large muscle development;
3. Stories, music, dancing, singing, and reading;
4. Listening and talking opportunities; and
5. Creative activities such as water play, cutting and pasting, painting, coloring, dramatic play, and playing with blocks.

Administrative rules for certified family child care homes at A.A.C. R6-5-5209 do not specifically regulate 'screen time', but do prescribe a daily program and activity schedule of activities that are structured to meet the age and developmental level of each enrolled child, and include the following:

1. Indoor and outdoor activities;
2. Activities that encourage movement and quiet time;
3. Activities that encourage a child's creativity;
4. Individual and group activities;
5. Small and large muscle development activities; and
6. Activities that include social interaction, problem solving, and negotiating skills.

☐ **Caring for children with special needs. Describe**

1. For licensed facilities, A.A.C. R9-5-507 prescribes "Supplemental Standards for Children with Special Needs;
2. For licensed group homes, A.A.C. R9-3-404 prescribes Supplemental Standards for Care of an Enrolled Child with Special Needs"; and

3. For certified family child care homes, A.A.C. R6-5-5215 describes provider requirements for “Children with Special Needs”

- ☐ Recognition and reporting of child abuse and neglect. Describe Child Abuse reporting is required by state statute pursuant to A.R.S. § 13-3620. Providers and their staff members are responsible for notifying either law enforcement or the Department of Child Safety (DCS) when they suspect child abuse in accordance with A.A.C. R9-3-308 for group homes, A.A.C. R9-5-307 for licensed centers, and A.A.C. R6-5-5210(L) for certified family child care homes.
- ☐ Other subject areas determined by the State/Territory to be necessary to promote child development or to protect children’s health and safety. Describe Health and safety standards are prescribed in administrative rules (the Arizona Administrative Code) as listed below:
 - For licensed facilities, A.A.C. R9-5-501 through A.A.C. 59-5-518;
 - For licensed group homes, A.A.C. R9-3-401 through A.A.C. R9-3-408; and
 - For certified family child care homes, A.A.C. R6-5-5207 through A.A.C. R6-5-5218

5.1.8 States and Territories have the option to exempt relatives (as defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles, (98.41(A)(ii)(A)) from CCDF health and safety training requirements. Does the State/Territory exempt relatives from the requirement to receive pre-service or orientation health and safety training on any or all of the listed topics? Note this exception applies if the individual cares ONLY for relative children.

- ☐ Yes, all relatives are exempt from all health and safety training requirements. If the State/Territory exempts all relatives from the CCDF health and safety training requirements, describe how the State ensures the health and safety of children in relative care.

Non-Certified Relative Providers

Providers who are grandparents (including great-grandparents), aunts, and uncles, or siblings (who are not otherwise required), may choose not to meet health and safety requirements. These providers are referred to as Non-Certified Relative Providers (NCRP). Regardless of whether they care for children in their own home or in the children’s home, NCRPs are not subject to licensing. They are however, subject to the following health and safety requirements:

1. The Non-Certified Relative Providers shall certify that they are not awaiting trial on and have never been convicted of or admitted committing any criminal offenses specified in state statute and that they have not committed any act of sexual abuse of a child.

2. [The Non-Certified Relative Providers shall certify that they are not the parent or guardian of a child adjudicated to be a dependent child, as defined by state statute.](#)
 3. [The Non-Certified Relative Providers shall certify that they have not been denied for cause a license to operate a facility for the care of children in this or another state, nor had a license or certification to operate such a facility revoked.](#)
 4. [The Non-Certified Relative Providers shall also be in compliance with state statutory fingerprint requirements.](#)
 5. [The Non-Certified Relative Providers must pass a Department of Child Safety \(DCS\) background check.](#)
- ☐ Yes, some relatives are exempt from health and safety training requirements. If the State/Territory exempts some relatives from the CCDF health and safety training requirements, describe which relatives are exempt from which requirements (all or some) and include how the State/Territory ensures the health and safety of children in relative care. _____
- ☐ No, relatives are not exempt from CCDF health and safety training requirements.

5.2 Monitoring and Enforcement Policies and Practices

5.2.1 The State/Territory certifies that the State/Territory has in effect policies and practices to ensure that providers for children receiving assistance and their facilities comply with applicable State or local licensing and health and safety requirements. (658E(c)(2)(J))

- ☐ Yes. The State/Territory certifies that it has policies and practices to ensure compliance with applicable licensing and health and safety requirements for providers receiving CCDF and their facilities as of March 1, 2016. List the policy citation

[In addition to the licensing and health and safety standards listed in section 5.1.6 and their respective administrative rule references for licensed centers, licensed group homes, and certified family child care homes, additional administrative rule references in the Arizona Administrative Code regarding compliance with state licensing and health and safety requirements are listed below:](#)

[Licensed Centers:](#)

1. [Arizona State Statutes](#)
[Arizona revised statutes include health and safety requirements under TITLE 36, CHAPTER 7.1, ARTICLES 1, 3, 5: CHILD CARE PROGRAMS, ARTICLE 1. DAY CARE CENTERS: §36-881- §36-898 authorizes the Department of Health Services to establish adequate standards for child care center/public schools.](#)

2. Arizona Administrative Code

- [A.A.C. R9-5-201. Application for a License](#)
- [A.A.C. R9-5-203. Fingerprinting and Central Registry Background Check Requirements](#)
- [A.A.C. R9-5-209. Inspections; Investigations](#)
- [A.A.C. R9-5-210. Denial, Revocation, or Suspension of License](#)
- [A.A.C. R9-5-301. General Licensee Responsibilities](#)
- [A.A.C. R9-5-307. Suspected or Alleged Child Abuse or Neglect](#)
- [A.A.C. R9-5-308. Insurance Requirements](#)
- [A.A.C. R9-5-309. Gas and Fire Inspections](#)
- [A.A.C. R9-5-509. General Food Service and Food Handling Standards](#)
- [A.A.C. R9-5-605. Fire and Safety](#)

Licensed Group Homes:

1. Arizona State Statutes

[Arizona revised statutes include health and safety requirements under TITLE 36, CHAPTER 7.1, ARTICLE 4. CHILD CARE GROUP HOMES. §36-897- §36-897.12 authorizes the Department of Health Services to establish adequate standards for child care Small Group Homes.](#)

2. Arizona Administrative Code

- [A.A.C. R9-3-201. Application for a Certificate](#)
- [A.A.C. R9-3-202. Fingerprinting and Central Registry Background Check Requirements](#)
- [A.A.C. R9-3-206. Inspections; Investigations](#)
- [A.A.C. R9-3-207. Denial, Revocation, or Suspension of a Certificate](#)
- [A.A.C. R9-3-301. Certificate Holder and Provider Responsibilities](#)
- [A.A.C. R9-3-504. Fire Safety, Gas Safety, and Emergency Standards](#)

Certified Family Child Care Homes:

- [A.A.C. R6-5-5202. Initial Application for Certification](#)
- [A.A.C. R6-5-5203. Initial Certification: The Home Facility](#)
- [A.A.C. R6-5-5205. Certification Time-frames](#)
- [A.A.C. R6-5-5204. Initial Certification: Department Responsibilities](#)
- [A.A.C. R6-5-5207. Maintenance of Certification: General Requirements; Training](#)
- [A.A.C. R6-5-5208. Recertification Requirements](#)
- [A.A.C. R6-5-5224. Complaints; Investigations](#)
- [A.A.C. R6-5-5225. Probation](#)

- [A.A.C. R6-5-5226. Certification, Denial, Suspension, and Revocation](#)

- ☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016) _____
- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
 - o Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - o Projected start date for each activity _____
 - o Projected end date for each activity _____
 - o Agency – Who is responsible for complete implementation of this activity _____
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity _____

5.2.2 The CCDBG Act of 2014 added the following provisions for enforcement of licensing which must be in effect no later than November 19, 2016 for all providers who serve children receiving CCDF (with the option to exempt relatives). While the law does not specify strategies to meet these requirements, States and Territories could consider implementing a differential monitoring approach as long as the full complement of licensing and CCDF health and safety standards was representative and the frequency was at least annually.

- b) **Licensing Inspectors** - It will have policies and practices that ensure that individuals who are hired as licensing inspectors in the State/Territory are qualified to inspect those child care providers and facilities and have received training in related health and safety requirements, and are trained in all aspects of the State’s licensure requirements. (658E(c)(2)(K)(i)(I))
- ☐ Yes. The State/Territory certifies that as of March 1, 2016 it has policies and practices that ensure that individuals who are hired as licensing inspectors in the State/Territory are qualified to inspect those child care providers and facilities and have received training in

related health and safety requirements, and are trained in all aspects of the State's licensure requirements. List the policy citation and describe the qualifications, including at a minimum how inspector qualifications address training related to the language and cultural diversity of the providers, and how qualifications address being appropriate to the age of children in care and type of provider setting:

Arizona Department of Health Services

The Arizona Department of Health Services has established policies for hiring State Licensing Surveyors (Inspectors) based on the Arizona Department of Administration's protocols for Position Description/Job description requirements. Inspectors are qualified to inspect childcare providers and their facilities. Each Inspector receives a minimum of 12 hours of training per year on health and safety requirements. In addition, they are trained in all aspects of Arizona's licensing requirements on an ongoing basis.

Arizona Department of Economic Security, CCDF Lead Agency

The Arizona Department of Economic Security has established qualifications for hiring Home Certification Specialists based on the Arizona Department of Administrations's protocols for Position Description requirements, including the following: Knowledge of Department policy and state statutes, federal law and rules pertaining to multiple child care programs; Department of Health Services (DHS), Arizona Department of Education (ADE), and other Department of Economic Security programs, community programs and resources which may be of help to clients and providers; other cultures and diverse value systems, local demographics and community assets; administrative rules and other contract requirements pertaining to multiple child care programs.

Each Home Certification specialist goes through an on the job training process for up to 6 months which includes the following: one on one training from their supervisor and mentoring on Administrative Rules for home certification (Article 52 of the Arizona Administrative Code) the Certified provider registration agreement, and the home visitor forms, job shadowing of mentors and the supervisor during home monitoring visits and an "on-boarding" process to acclimate the specialist to relevant Department systems. They are accompanied on home visits by their supervisor who uses the home visitor evaluation guide to observe, coach and train the new specialist. They receive one-on-one training on the Department's automated system and overpayment and billing training. Specialists attend a minimum of 16 hours of additional training each year to stay current on practices regarding child care, communication techniques and resources available for their

[providers. Each year thereafter they are required to complete a minimum of 12 hours of training.](#)

- ☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
- Overall Target Completion Date (no later than November 19, 2016) _____
 - Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
 - Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - o Projected start date for each activity _____
 - o Projected end date for each activity _____
 - o Agency – Who is responsible for complete implementation of this activity _____
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity _____
- c) **Inspections for Licensed CCDF Providers** - It will require licensing inspectors to perform inspections, with not less than one prelicensure inspection, for compliance with health, safety, and fire standards, of each such child care provider and facility in the State/Territory. It will require licensing inspectors to perform not less than annually, one unannounced inspection of licensed CCDF providers for compliance with all child care licensing standards, which shall include an inspection for compliance with health, safety, and fire standards (inspectors may inspect for compliance with all 3 standards at the same time. (658E(c)(2)(K)(i)(II))
- ☐ Yes. The State/Territory certifies that as of March 1, 2016 it has policies and practices regarding inspections for licensed CCDF providers. List the policy citation and describe the inspection requirements including the frequency of announced and unannounced visits

[Arizona Department of Health Services](#)

Arizona Department of Health Services has policies and protocols that require a minimum of one pre-licensure inspection for compliance with health, safety and fire standards, as prescribed by A.A.C. R9-5-202(C)(1) for licensed centers and by A.A.C. R9-3-102(C)(1) for licensed group homes.

In addition, the Department of Health Services has statutory requirements to provide an unannounced inspection of licensed facilities at least once per year pursuant to A.R.S. § 36-885, and pursuant to A.R.S. § 36-897.05 for Child Care Group Homes. The inspection requires that providers comply with all childcare licensing rules including health, safety and fire standards.

- ☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
- Overall Target Completion Date (no later than November 19, 2016) _____
 - Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
 - Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - o Projected start date for each activity _____
 - o Projected end date for each activity _____
 - o Agency – Who is responsible for complete implementation of this activity _____
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity _____
- c) **Inspections for License-Exempt CCDF Providers (except those serving relatives)** – It will have policies and practices that require licensing inspectors (or qualified monitors designated by the lead agency) of child care providers and facilities to perform an annual monitoring visit of each license-exempt CCDF provider (unless the provider is described in section (658P(6)(B)). (658E(c)(2)(K)(ii)(IV))
- ☐ Yes. The State/Territory certifies that as of March 1, 2016 it has policies and practices regarding inspections for license-exempt

CCDF providers. List the policy citation and describe the annual monitoring visit requirements: _____

- ☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than November 19, 2016)

[November 19, 2016](#)

- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)

[Arizona Department of Economic Security](#)

[Fully implemented for certified family child care homes](#)

[The Arizona Department of Economic Security rule at A.A.C. R6-5-5207\(H\) requires the completion of two on-site visits per year to each home facility and in-home provider, of which at least one visit is unannounced.](#)

[Substantially implemented for in-home providers; need to change location of meeting with in-home provider to meet the monitoring requirement.](#)

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

[Fully implemented for certified family child care homes](#)

[The Arizona Department of Economic Security \(DES\) rule at A.A.C. R6-5-5207\(H\) requires the completion of 2 onsite visits per year to each home facility and in-home provider, of which at least 1 visit is unannounced.](#)

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

[Substantially implemented for in-home providers; need to change location of meeting with in-home provider to meet the monitoring requirement.](#)

- Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
 - a. [Define procedures for granting access to home for in-home providers;](#)
 - b. [Train the procedures; and](#)
 - c. [Implement the procedures.](#)

- o Projected start date for each activity
 - a. [Define procedures for granting access to home for in-home providers: November 1, 2015](#)
 - b. [Train the procedures: August 1, 2016 ; and](#)
 - c. [Implement the procedures: November 1, 2016.](#)
 - o Projected end date for each activity
 - a. [Define procedures for granting access to home for in-home providers: July 31, 2016](#)
 - b. [Train the procedures: October 31, 2016 ; and](#)
 - c. [Implement the procedures: November 1, 2016.](#)
 - o Agency – Who is responsible for complete implementation of this activity
[The Arizona Department of Economic Security Child Care Administration](#)
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity
[Home Recruitment, Study and Supervision \(HRSS\) provides individual and/or group training in developmentally appropriate practices, business practices, CPR/First Aid, etc. for family child care providers as a part of the contract. Upon successful completion of the training, family child care providers may be certified to contract with Department of Economic Security to receive CCDF to deliver child care services.](#)
- d) **Ratio of Licensing Inspectors** – It will have policies and practices that require the ratio of licensing inspectors to such child care providers and facilities in the State/Territory to be maintained at a level sufficient to enable the State to conduct inspections of such child care providers and facilities on a timely basis in accordance with Federal, State, and local law.
 (658E(c)(2)(K)(i)(III))

- ☐ Yes. The State/Territory certifies that as of March 1, 2016 it has policies and practices regarding the ratio of licensing inspectors to such child care providers and facilities in the State/Territory. List the policy citation and list the State/Territory ratio of licensing inspectors:

[Arizona Department of Health Services](#)

[The Arizona Department of Health Services \(DHS\) does not have established policies and practices that maintain a ratio of inspectors to childcare](#)

providers/facilities. The Department consistently maintains sufficient staff to meet its annual requirement of facilities inspections.

Arizona Department of Economic Security, CCDF Lead Agency

The Arizona Department of Economic Security (DES) rule at A.A.C. R6-5-5207(H) requires the completion of 2 onsite visits per year to each home facility and in-home provider, of which at least 1 visit is unannounced. The Department of Economic Security maintains an adequate ratio of 1 Certification Specialist to 60 Certified Home Providers in order to sufficiently complete the required visits in a timely manner.

- ☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
- Overall Target Completion Date (no later than November 19, 2016) _____
 - Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
 - Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - o Projected start date for each activity _____
 - o Projected end date for each activity _____
 - o Agency – Who is responsible for complete implementation of this activity _____
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity _____
- e) **Child Abuse and Neglect Reporting** – That child abuse reporting requirements are in place and comply with section of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i)) (658E(c)(2)(L))
- ☐ Yes. Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. List the Lead Agency’s policy citation(s)

Child Abuse reporting is required by state statute pursuant to A.R.S. § 13-3620. Providers and their staff members are responsible for notifying either law enforcement or the Department of Child Safety (DCS) when they suspect child abuse in accordance with A.A.C. R9-3-308 for group homes, A.A.C. R9-5-307 for licensed centers, and A.A.C. R6-5-5210(L) for certified family child care homes.

- ☐ No. If no, the State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than November 19, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than November 19, 2016) _____
- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
- Tasks/Activities – What specific steps will you take to implement the requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - o Projected start date for each activity _____
 - o Projected end date for each activity _____
 - o Agency – Who is responsible for complete implementation of this activity _____
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity _____

5.2.3 States and Territories have the option to exempt relatives (as defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles, (98.41(A)(ii)(A)) from inspection requirements. Note this exception only applies if the individual cares ONLY for relative children. Does the State/Territory exempt relatives from inspection requirements listed in 5.2.2?

- ☐ Yes, all relatives are exempt from all inspection requirements. If the State/Territory exempts all relatives from the inspection requirements, describe how the State ensures the health and safety of children in relative care.

Providers who are grandparents (including great-grandparents), aunts, and uncles, or siblings (who are not otherwise required), may choose not to meet health and safety requirements. These providers are referred to as Non-Certified Relative Providers (NCRP). Regardless of whether they care for children in their own home or in the children's home, NCRPs are not subject to licensing or inspection requirements. They are however, subject to the following health and safety requirements:

1. The Non-Certified Relative Providers shall certify that they are not awaiting trial on and have never been convicted of or admitted committing any criminal offenses specified in state statute and that they have not committed any act of sexual abuse of a child.
2. The Non-Certified Relative Providers shall certify that they are not the parent or guardian of a child adjudicated to be a dependent child, as defined by state statute.
3. The Non-Certified Relative Providers shall certify that they have not been denied for cause a license to operate a facility for the care of children in this or another state, nor had a license or certification to operate such a facility revoked.
4. The Non-Certified Relative Providers shall also be in compliance with state statutory fingerprint requirements.
5. The Non-Certified Relative Providers must pass a Department of Child Safety (DCS) background check.

- ☐ Yes, some relatives are exempt from inspection requirements. If the State/Territory exempts some relatives from the inspection requirements, describe which relatives are exempt from which requirements (all or some) and include how the State/Territory ensures the health and safety of children in relative care. _____
- ☐ No, relatives are not exempt from inspection requirements.

5.3 Criminal Background Checks

The CCDBG Act of 2014 added new requirements for States and Territories receiving CCDF funds to conduct criminal background checks on child care staff members and prospective staff members of child care providers. States and Territories must have requirements, policies, and procedures in place to conduct criminal background checks for staff members of child care providers (other than relatives) that are licensed, regulated or registered under State/Territory law or receive CCDF funds. Background check requirements apply to any staff member who is employed by a child care provider for compensation or whose activities involve the care or supervision of children or unsupervised access to children. For family child care homes, this includes the caregiver requesting a check of

him/herself, as well as other adults in the household that may have unsupervised access to children. These provisions must be in place no later than September 30, 2017.

The CCDBG Act of 2014 specifies what a comprehensive criminal background check includes and a child care provider must submit a request to the appropriate State/Territory agency for a criminal background check for each child care staff member, including prospective child care staff members at least once every 5 years. A criminal background check must include a search of: State criminal and sex offender registry in the State where the staff member resides and each State where the staff member has resided over the past 5 years; State child abuse and neglect registry in the State where the staff member resides and each State where the staff member has resided over the past 5 years, National Crime Information Center (run by the FBI); FBI fingerprint check using Next Generation Identification ; and National Sex Offender Registry.

Child care staff members cannot be employed by a provider receiving CCDF if they refuse a background check; make materially false statements in connection with the background check; are registered or required to be registered on the State or National Sex Offender Registry; have been convicted of a felony consisting of: murder, child abuse or neglect, crimes against children, spousal abuse, crime involving rape or sexual assault, kidnapping, arson, physical assault or battery, or subject to an individual review, at the State's option, a drug-related offense committed during the preceding 5 years; or have been convicted of a violent misdemeanor committed as an adult against a child.

Timeliness of background checks - The State/Territory must conduct the background checks as quickly as possible and shall not exceed 45 days after the child care provider submitted the request. The State/Territory shall provide the results of the background check in a statement that indicates whether the staff member is eligible or ineligible, without revealing specific disqualifying information. If the staff member is ineligible, the State/Territory will provide information about each disqualifying crime to the staff member.

Fees for background checks – Fees that a State/Territory may charge for the costs of processing applications and administering a criminal background check may not exceed actual costs to the State/Territory for processing and administration.

Transparency – The State/Territory must ensure that policies and procedures for conducting criminal background checks are published on the State/Territory's consumer education website (also see section 2.3) or other publicly available venue.

Appeals process – The State/Territory shall have a process for a child care staff member to appeal the results of their background check to challenge the accuracy and completeness.

Privacy considerations - Lead Agency may not publicly release the results of individual background checks. They may release aggregated data by crime as long as the data does not include personally identifiable information.

5.3.1 Describe the status of the State/Territory's requirements, policies, and procedures for criminal background checks for child care staff members and child care providers.

- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. List the policy citation within the Lead Agency's rules _____ and describe the policies and procedures for criminal background checks using 5.3.2 through 5.3.9 below.
- ☐ Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2017). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
 - Overall Target Completion Date (no later than September 30, 2017)
[September 30, 2017](#)
 - Overall Status – Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other)
[Substantially implemented](#)
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable
[Comprehensive criminal background checks via the issuance of fingerprint clearance cards and child abuse registry checks are required by state statute.](#)
 - o Unmet requirement - Identify the requirement(s) to be implemented
 - a. [Arizona cannot comply with requirement to search the National Crime Information Center \(NCIC\) database as a component of the criminal background check process.](#)
 - b. [The CCDF Lead Agency to develop policies and procedures to process background checks received from other states.](#)
 - c. [The procedures for conducting criminal background checks are not published on an agency or consumer website, as required by 5.3.8. Target completion is September 30, 2016; policies and procedures will be developed and posted to the Department of Economic Security website on that date.](#)
 - Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.)
 - a. [Access to National Crime Information Center database](#)

- b. [Develop policies and procedures to process background checks received from other states](#)
 - c. [Publish the procedures for conducting criminal background checks the agency or consumer website](#)
- Projected start date for each activity
 - a. [National Crime Information Center access, November 2014](#)
 - b. [Policy development: October 1, 2014](#)
 - c. [Publishing to the website: July 1, 2016](#)
- Projected end date for each activity
 - a. [National Crime Information Center access: September 30, 2017](#)
 - b. [Policy development: July 1, 2016](#)
 - c. [For publishing to the website: September 30, 2016](#)
- Agency – Who is responsible for complete implementation of this activity
 - a. [Department of Health and Human Services and the FBI for National Crime Information Center access](#)
 - b. [Arizona Department of Economic Security for policy and procedures development](#)
 - c. [Arizona Department of Economic Security for posting to the website.](#)
- Partners – Who is the responsible agency partnering with to complete implementation of this activity
 - a. [The Arizona Department of Health Services and the FBI for National Crime Information Center access](#)
 - b. [none](#)
 - c. [Child Care Resource and Referral](#)

5.3.2 Describe the process and procedures for conducting background checks in a timely manner, including which agency/entity is responsible and how the Lead Agency ensures that background checks performed by a 3rd party meet the requirements, protecting the privacy of child care staff members, and providing opportunities for applicants to appeal the results of background checks.

[Arizona Department of Economic Security, CCDF Lead Agency](#)

[Criminal Background Checks](#)

[In Arizona, criminal background checks are conducted through the issuance of fingerprint clearance cards. This activity is conducted by the Arizona Department of Public Safety. Arizona Revised Statutes § 41-1758.07 describes the violations that would make a provider ineligible to receive a finger print clearance card, as well as the process for appeal. This includes a person who is subject to registration as a sex](#)

offender in Arizona or any other jurisdiction. In addition, individuals that have substantiated allegations with Arizona Department of Child Safety (DCS) of physical abuse, sexual abuse, or neglect categorized as moderate or high risk, or resulting in the death of a child due to abuse or neglect are prohibited from providing care for CCDF funded children.

The fee for volunteers for a Fingerprint Clearance Card is \$65 and the fee for all others is \$67. There is no fee associated with child abuse registry checks.

The Arizona Board of Fingerprinting has authority to determine good cause exceptions as described in Arizona Revised Statutes § 41-619.55 for providers who wish to appeal the denial of a fingerprint clearance card.

The Lead Agency's decisions based on a provider's failure to clear a fingerprint check or child abuse registry check are not appealable.

A web-link to Arizona Revised Statutes 41-1758.07 is at:

<http://www.azleg.gov/FormatDocument.asp?inDoc=/ars/41/01758-07.htm&Title=41&DocType=ARS>

Arizona Revised Statutes 41-1756 prohibits unauthorized access to, release of, or usage of criminal history information for any other purpose than intended by statute.

Licensed Centers

Fingerprint clearance cards (which include an FBI criminal background check, and a state criminal background check) are issued upon entrance into the system and are valid for six years. However, the CCDF Lead Agency conducts criminal background checks every 5 years at Department of Economic Security provider contract renewal, as required by the CCDBG Act of 2014. Additionally, cardholders are continually crosschecked against all arrests in Arizona. A card is suspended for an arrest for a prohibited offense. If a contract renewal is sought, a new FBI background check is conducted.

The director, teaching staff, nonteaching staff and volunteers must obtain and maintain valid fingerprint clearance cards issued under Arizona Revised Statutes (A.R.S.) Title 41, Chapter 12, Article 3.1. The director, teaching staff, non-teaching staff and volunteers are defined as "child care personnel" in (A.R.S.) § 36-883.02.

Licensed Group Homes

Fingerprint clearance cards (which include an FBI criminal background check, and a state criminal background check) are issued upon entrance into the system and are valid for six years. However, the CCDF Lead Agency conducts criminal background checks every 5 years at Department of Economic Security provider contract renewal, as required by the CCDBG Act of 2014. Additionally, cardholders are continually

crosschecked against all arrests in Arizona. A card is suspended for an arrest for a prohibited offense. If a contract renewal is sought, a new FBI background check is conducted.

The provider, adult staff members and adult residents at the child care group home must obtain and maintain valid fingerprint clearance cards. See A.R.S. § 36-897 et seq.

Certified Family Child Care Homes

Fingerprint clearance cards (which include an FBI criminal background check, and a state criminal background check) are issued upon entrance into the system and are valid for six years. However, the Lead Agency conducts criminal background checks every 5 years at Department of Economic Security provider contract renewal, as required by the CCDBG Act of 2014. Additionally, cardholders are continually crosschecked against all arrests in Arizona. A card is suspended for an arrest for a prohibited offense. If a contract renewal is sought, a new FBI background check is conducted.

The family child care home provider, adult non-provider residents and back up provider are subject to state criminal background checks. In addition, noncertified relative child care providers are also subject to these checks. See A.R.S. § 46-801.

Child Abuse Registry Checks

In Arizona, individuals that provide care for children must complete a child abuse registry check conducted by the Arizona Department of Child Safety (DCS).

As part of the substantiation process of an allegation of child abuse with the Arizona Department of Child Safety, families are afforded an appeal before an Administrative Law Judge (ALJ). During this appeal they are able to dispute the findings and conclusions of a Department of Child Safety investigation and provide additional evidence. The child abuse registry check only identifies substantiated allegations that have been appealed and the decision upheld by an ALJ, or substantiated allegations that an individual has failed to appeal.

There are no costs to child care staff for the checks. Staff that have substantiated allegations of physical abuse, sexual abuse, or neglect categorized as moderate or high risk, or resulting in the death of a child due to abuse of neglect are prohibited from providing care for CCDF funded children.

The CCDF Lead Agency's decisions based on a provider's failure to clear a fingerprint check or child abuse registry check are not appealable.

Arizona Department of Health Services

The Arizona Department of Health Services (DHS) processes Central Registry checks for providers that do not have CCDF funding (are not contracted with the Department of Economic Security).

The Department of Child Safety Central Registry Process for Non-Department of Economic Security Contractors is accessible via the link below:

<http://azdhs.gov/licensing/childcare-facilities/index.php#providers-non-contractor-registry>

The Department of Health Services has developed a process to mirror the process the lead agency has in place for conducting Central Registry background checks in a timely manner. Protocols are as follows:

Providers are informed via training, prior to licensure that they need to complete the required form to include all of their staff. The ‘*Search Request of ADCS CENTRAL REGISTRY for Background Check*’ form can be viewed at:

<http://azdhs.gov/documents/licensing/childcare-facilities/providers/registry/cps-central-registry-background-check.pdf>

In addition, providers are requested to have all child care personnel complete the ‘*ADCS Central Registry Affidavit*’ for each employee and maintain it in their file for review and verification, per A.R.S. § 36-883.02(C); the affidavit can be viewed at:

<http://azdhs.gov/documents/licensing/childcare-facilities/providers/registry/cps-central-registry-employee-affidavit.pdf>

Providers are informed that the Department of Child Safety is in receipt of their request and receive a formal letter from the Department informing them of the outcome of the review.

The Central Registry Specialist is trained to utilize the Central Registry program and has passed all required security protocols determined by the Lead Agency. The state of Arizona has put in place via statute (A.R.S. § 8-804(I)) that individuals who have a hit on the central registry check have opportunities to appeal the decision with the Department of Public Safety.

Regarding criminal background checks: pursuant to 36-897.03 (Homes) and 36-883.02 (Commercial sites – centers/public schools) requires providers to submit fingerprint clearance checks for themselves and their staff every 6 years upon renewal. The Department of Public Safety (DPS) has the jurisdiction in issuing cards to staff and providers. The Arizona Department of Health Services is required to check fingerprint clearance for employees/providers working in all licensed and certified facilities. All CCDF providers will have their fingerprint clearance cards verified every year at the annual compliance inspection as will all non-CCDF providers.

- 5.3.3** Describe how the State/Territory is assisting other States process background checks, including any agencies/entities responsible for responding to requests from other states

[Arizona is currently in the process of developing policies and procedures to support this requirement.](#)

- 5.3.4** Does the State/Territory have a review process for individuals disqualified due to a felony drug offense to determine if that individual is still eligible for employment?

☐ Yes. Describe

[Arizona has a formal process through the Department of Public Safety's Fingerprint Board that is established by statute. The statute allows for individuals who have a hit, to appeal the hit through the process also established by statute. A.R.S. §41-1758.02. The Board makes the determination and informs the individual and the Department.](#)

☐ No

- 5.3.5** Does the State/Territory disqualify child care staff members based on their conviction for other crimes not specifically listed in 5.3?

☐ Yes. Describe

[Arizona Department of Health Services](#)

[The Department of Health Services \(DHS\) disqualifies child care staff members based upon their conviction for all proscribed crimes, pursuant to A.R.S. § 41-1758.07. The Department of Public Safety does have an appeal process that allows individuals to request a good cause exception/interim approval, per A.R.S. § 41-619.55. The Department of Public Safety does a national and in state search to determine if individuals have had any convictions. They inform each individual and the Department of the results. In turn, Department of Health Services also informs the providers if one of their staff has a hit. They are asked to ensure this staff member is not working at the facility until a good cause exception is processed and accepted.](#)

[Arizona Department of Economic Security](#)

[The Department of Economic Security \(DES\) disqualifies child care staff members based upon their conviction for all proscribed crimes pursuant to A.R.S. § 41-1758.07 and A.R.S. § 41-1964. As specified by A.A.C. R6-5-5228\(C\), decisions based on failure to clear a fingerprint check or criminal history check are not appealable.](#)

☐ No

5.3.6 States and Territories have the option to exempt relatives (as defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles, (98.41(A)(ii)(A)) from background check requirements. Note this exception only applies if the individual cares ONLY for relative children. Does your State/Territory exempt relatives from background checks?

☐ Yes, all relatives are exempt from all background check requirements.

☐ Yes, some relatives are exempt from the background check requirements. If the State/Territory exempts some relatives from background check requirements, describe which relatives are exempt from which requirements (some or all)._____

☒ No, relatives are not exempt from background checks.

5.3.7 Describe how the State/Territory ensures that fees charged for completing the background checks do not exceed the actual cost of processing and administration, regardless of whether conducted by the State/Territory or a 3rd party vendor or contractor. Lead Agencies can report that no fees are charged if applicable.

[In Arizona, fingerprint fees are paid by providers directly to the Department of Public Safety to issue the Fingerprint Clearance cards; there are no administrative fees paid to vendors or contractors for this service.](#)

5.3.8 Describe how background check policies and procedures are published on the State/Territory consumer education website or made publicly available on another venue

[Arizona Department of Health Services](#)

[The Department of Health Services website at http://azdhs.gov/licensing/childcare-facilities/index.php#providers-non-contractor-registry describes the policy for background checks non-DES contracted child care providers, as excerpted below:](http://azdhs.gov/licensing/childcare-facilities/index.php#providers-non-contractor-registry)

[Arizona Department of Child Safety \(ADCS\) Central Registry Notification](#)

[According to A.R.S. § 8-804, "Beginning August 1, 2013, licensees that do not contract with the State and that employ persons who provide direct services to children pursuant to Title 36, Chapter 7.1 must submit to the Department of Economic Security \("DES"\) information necessary to conduct Central Registry background checks. The Department of Health Services shall verify whether licensees, pursuant to Title 36, Chapter 7.1, have complied with the requirements of this subsection and any rules adopted by the Department of Health Services to implement this subsection."](#)

[This law will apply to providers who are not contracted with Department of Economic Security to provide child care services for Department of Economic Security -enrolled](#)

families. (Department of Economic Security contractors are already required to comply with this registration check.)

Each non-Department of Economic Security contracted facility licensed with Arizona Department of Health Services will receive the Department of Child Safety Central Registry Background Check Request form, with instructions & additional information from the Bureau of Child Care Licensing. Once completed and returned to the Department, it will be processed and the provider will be notified of the results.

Providers who are licensed with Department of Health Services to provide child care, but do not have a contract with Department of Economic Security, must still ensure that all staff members have been checked against the Central Registry for any substantiated finding that would disqualify them as child care workers.

Additionally, Department of Health Services has documented training for new providers to educate them regarding where they can find the appropriate forms for all child care personnel and how to complete them. In addition, the Department has information available on the website explaining the process.

Centers:

<http://azdhs.gov/documents/licensing/childcare-facilities/training/owner-orientation-training.pdf>

Homes:

<http://azdhs.gov/documents/licensing/childcare-facilities/training/owner-orientation-training-for-homes.pdf>

5.3.9 Does the Lead Agency release aggregated data by crime?

- ☐ Yes. List types of crime included in the aggregated data _____
- ☐ No

6 Recruit and Retain a Qualified and Effective Child Care Workforce

Teacher-child interactions and relationships, intentional strategies to engage children and their parents, and use of curriculum and assessment to inform practices with children are key components of high quality child care. These require a competent, skilled, and stable workforce. Research has shown that specialized training and education, positive and well-organized work environments and adequate compensation promote teacher recruitment, stability, diversity of the early childhood workforce, and effectiveness with young children in child care. In addition, professional development strategies that emphasize on-site mentoring and coaching of teachers have emerged as promising to change practices with children and families. Professional development, whether training, on-site coaching and mentoring, registered apprenticeship, or higher

education coursework, should reflect the research and best practices of child development in all domains and cultural competence.

The CCDBG Act of 2014 requires States and Territories to establish professional development and training requirements in key areas such as health and safety, early learning guidelines, responding to challenging behavior and engaging families. States and Territories are required to offer ongoing annual training and to establish a progression of professional development opportunities to improve knowledge and skills of CCDF providers. (658E(c)(2)(G)) An example of how a State/Territory might address this is to establish a system or framework of professional development that includes professional standards, a “career ladder” that allows an individual to build knowledge and skills in a cumulative manner from introductory training to advance level education, including obtaining credentials and post-secondary degrees. Professional development should be designed in a manner that aligns to competencies and qualifications that reflect working with children of different ages, English language learners, children with disabilities and the differentiated roles in all settings, such as teachers, teacher assistants, and directors. Training and education supporting professional development is also one of the options States and Territories have for investing their CCDF quality funds. (658G(b)(1)) ACF encourages States and Territories to collaborate and coordinate with other early childhood educator professional development resources, such as Race to the Top Early Learning Challenge grants, quality funds available through the Preschool Development grants, and funds available through Head Start and Early Head Start, to the extent practicable. Responsive, well-qualified adult caregivers are one of the most important factors in children’s development and learning in child care settings. ACF strongly encourages States and Territories to link CCDF health and safety trainings (see Section 5) and child development trainings and education to this broader professional development framework as the foundation for building a knowledgeable early childhood education workforce. Questions related to requirements for recruiting and retaining a qualified and effective child care workforce have been consolidated into Section 6.

6.1 Training and Professional Development Requirements

The CCDBG Act of 2014 added a requirement that the State/Territory develop training and professional development requirements designed to enable child care providers to promote the social, emotional, physical and cognitive development of children and to improve the knowledge and skills of the child care workforce. Such requirements shall be applicable to child care providers caring for children receiving CCDF across the entire age span from birth through age 12. (658E(c)(2)(G)) Training and professional development should be accessible and appropriate across settings and types of providers, including family child care home providers and child care center staff.

The State/Territory also must develop and implement strategies to strengthen the business practices of child care providers to expand the supply and improve the quality of child care services. (658E(c)(2)(V))

For purposes of this section, the term professional development is inclusive of credit bearing coursework, postsecondary degree programs, and technical assistance (targeted assistance such as mentoring, coaching or consultation) activities. Health and safety topics that require renewal of a credential or certification should be considered continuing education unit trainings.

6.1.1 Describe the status of the State/Territory's professional development system or framework, including training and professional development requirements to enable child care providers to promote the social, emotional, physical, and cognitive development of children and to improve the knowledge and skills of the child care workforce.

The Lead Agency assures that the State/Territory's training and professional development requirements:

- a) Provide ongoing training and professional development that is accessible for the diversity of providers in the State/Territory; provide for a progression of professional development reflecting research and best practice to meet the developmental needs of participating infants, toddlers, preschool, and school-age children and that is aligned to foundational and specialized competencies (including different ages of children, English language learners, and children with disabilities); and improve the quality and stability of the child care workforce (such as supports an individual to build on entry- and mid-level training and education (which may include higher education) to attain a higher level credential or professional certification and retention in the child care program).
 - b) Are developed in consultation with the State Advisory Council (SAC) on Early Childhood Education and Care or other state or state-designated cross-agency body if there is no SAC that addresses training, professional development and education of child care providers and staff.
 - c) Incorporate knowledge and application of the State/Territory's early learning and developmental guidelines (where applicable), the State/Territory's health and safety standards (as described in section 5), and incorporate social-emotional/behavioral and early childhood mental health intervention models, which may include positive behavior intervention and support models (as described in Section 2)
 - d) Are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF
 - e) Appropriate, to the extent practicable, for child care providers caring for children receiving child care subsidies, including children of different age groups, English language learners, children with disabilities, and Native Americans, including Indians and Native Hawaiians.
- ☐ Fully implemented and meeting all Federal requirements outlined above by March 1, 2016. Describe using 6.1.2 through 6.1.6 below.
 - ☐ Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016) _____

- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
- Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - o Projected start date for each activity _____
 - o Projected end date for each activity _____
 - o Agency – Who is responsible for complete implementation of this activity _____
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity _____

6.1.2 Describe how the State/Territory provides ongoing training and professional development that is accessible for the diversity of providers in the State/Territory, provides for a progression of professional development reflecting research and best practice to meet the developmental needs of participating infants, toddlers, preschool and school-age children and that is aligned to foundational and specialized competencies (including different ages of children, English language learners, and children with disabilities) and improves the quality and stability of the child care workforce. Use the checkboxes below to identify and describe the elements of the progression of professional development. Check all that apply.

☐ State/Territory professional standards and competencies. Describe

[The Arizona Department of Economic Security, CCDF Lead Agency, works in collaboration with the Arizona Department of Education \(ADE\), the Arizona Department of Health Services \(DHS\) and the Arizona Early Childhood Development and Health Board \(First Things First\) to plan and administer professional development systems and workforce initiatives that are accessible for the diversity of providers in the state.](#)

[Arizona Department of Education](#)

[The Arizona Department of Education – Early Childhood Education \(ADE-ECE\) unit has created 4-6 hour modules for each of Arizona’s Infant and Toddler Development Guidelines \(ITDG\) and for each of the Arizona Early Learning Standards \(AzELS\), 3rd Edition. Professional development opportunities are provided throughout the state by a team of program specialists that work with programs in the communities](#)

including school districts, Head Starts, private providers, faith-based providers, home providers and home visitors.

The Early Childhood Education unit is also working with Institutes of Higher Education to make sure that the standards and guidelines are a part of the course work in community college and university classes.

First Things First, State Advisory Council

The Arizona Early Childhood Career and Professional Development Network is an integrated professional development system for all Arizona early childhood professionals working with or on behalf of young children. The Network was recently launched by First Things First, and includes the following components:

- The Professional Development (PD) website which provides the early childhood workforce access to a variety of professional development resources including competencies and standards, education pathways and opportunities, career pathways, employment opportunities, and the Arizona Early Childhood Workforce Registry
- The Arizona Early Childhood Workforce Registry (Registry) is a web-based system that enables early childhood professionals and those interested in a career in early education to find and register for professional development opportunities and also to keep a record of their experience, education, professional development and credentials in a central location. It is also used to manage application and enrollment in First Things First College Scholarships for Early Childhood Professionals.
- The Arizona Early Childhood Workforce Knowledge and Competencies is a uniform set of expectations that identify the basic knowledge, skills, and abilities needed for early childhood professionals across sectors of early childhood including, early care and education, early intervention, mental health, physical health and social services/child welfare professionals. They ensure implementation of quality services for young children and their families. All professional development opportunities offered in the Registry will be required to align with at least one of the core knowledge areas.
- The Arizona Career Lattice is a tool within the Registry that provides the pathway of education, professional development, and work experience for early childhood professionals to use for individualized assessment, setting professional development goals, and documentation of progress in career development.
- The Professional Development Instructor and Technical Assistance Provider Standards define the credentials, knowledge and experience necessary to ensure

high quality professional development experiences for our workforce from entry through advanced levels.

Recently launched, the Professional Development system is expected to support the early childhood workforce to access professional development aligned with the Workforce Knowledge and Competencies, which include eight Core Knowledge areas:

1. Child Growth and Development

- Basic Child Development
- Typical & Atypical Behavior
- Individual Differences
- Influences on Development
- Facilitation of Development
- Collaboration

2. Curriculum and Learning Environment

- Overall Learning Environment
- Learning Strategies
- Curriculum
- Schedules, Routines & Transitions
- Physical Environment
- Materials and Equipment
- Collaboration

3. Child Observation and Assessment

- Assessment Plans & Procedures
- Assessment Uses
- Assessment Related to Special Needs
- Communication with Families
- Confidentiality

4. Effective Interactions

- Relationships
- Interactions for Learning
- Group Interactions
- Communication
- Guidance
- Interactions with Families

5. Health, Safety, and Nutrition

- Policies, Practices & Procedures
- Abuse & Neglect
- Nutrition & Dietary Practices
- Communication with Families
- Health Education

6. Family and Community Partnerships

- Knowing & Respecting Families
- Communication
- Community Collaborations
- Encouraging Families to be Advocates for their Children

7. Professionalism

- Commitment to Quality
- Professional Development
- Ethics
- Leadership

8. Program Management

- Legal & Regulatory Standards
- Physical Facility
- Fiscal Management
- Risk Management Plan
- Technology
- Human Resource Management
- Program Planning & Evaluation

- a) The Workforce Knowledge and Competencies provide a framework for describing early childhood workforce competencies through the use of levels from beginning to advanced levels of skills, knowledge and abilities.
- b) First Things First is the State Advisory Council and convenes the Professional Development Work Group that supports the development and enhancement of the Professional Development System in Arizona. Department of Economic Security Child Care Administration staff participate on this work group.
- c) The Workforce Knowledge and Competencies are aligned with the state's Early Learning Standards and Infant Toddler Developmental Guidelines.

- d) All Professional Development System components, including competencies and standards are accessible to all of the early childhood workforce, including Tribal organizations.
- e) The Professional Development System components were developed with the intent to ensure the workforces has the ability to serve all families and children.

Arizona Department of Economic Security, CCDF Lead Agency

- Contracts with a variety of organizations to provide technical assistance (TA) to the child care workforce. Technical assistance is provided on-site as well as by phone or email by individual coaches and consultants.
- Contracts with a variety of organizations to identify, recruit, and train family child care providers. These providers care for four or fewer children for compensation and are eligible for subsidy reimbursement for children from eligible families in their care. They are known as certified family child care home providers. The recruiting contractors train and provide paid mentors from existing certified family child care home providers to provide ongoing support, information sharing and networking to new and existing home providers.
- The CCDF Lead Agency's Child care professional development training contracts offer instruction on a wide range of topics designed to meet the developmental needs of infants, toddlers, preschool and school-age children, and improve the quality of child care. Classes are available in English and Spanish. A sampling of classes offered to providers appears below:

The Ages and Stages of Art Development in Young Children

Stages at which art development occurs and the typical ages at which these developmental changes occur.

Bathing Children in Language

Demonstrates the different needs infants and toddlers have in terms of language development as they move through the ages of infancy. Suggestions for reading children's cues, communicating with children and promoting language development in playful yet meaningful ways.

Being In Tune

How to develop settings and climates of care through which close relationships with children can be developed.

Children First

Socialization, guidance and discipline for infants and toddlers during each stage of development are discussed. Strategies for as appropriate discipline strategies are introduced.

Developmentally Appropriate Practices, Core Considerations

[Explains the history of Developmentally Appropriate Practice \(DAP\) and why it is critical to high quality early childhood programs. Teaching practices appropriate to children's age and developmental status, address unique needs of individual children.](#)

[Developmentally Appropriate Practices, Effective Teaching and Curriculum](#)

[Learn the importance of intentional teaching practices that are appropriate to children's development and how to include these practices in your classroom.](#)

[Developmentally Appropriate Practices, Principles and Guidelines](#)

[Principles of child development and learning on which developmentally appropriate practice is based. Guidelines in five key areas of practice for promoting children's learning and development.](#)

[Developmentally Appropriate Practices, Teaching Strategies](#)

[How young children are assessed and the purposes of various types of assessment. Strategies for using assessment information to develop classroom activities and practice ways to share assessment information with families.](#)

[Developmentally Appropriate Practices, Child Assessment and Relationships with Families](#)

[How young children are assessed and the purposes of various types of assessment. Strategies for using assessment information to develop classroom activities and practice ways to share assessment information with families.](#)

[Effective Teaching Strategies for Supporting Social- Emotional Literacy](#)

[Instruction for adults on how to provide opportunities to deepen and extend a child's knowledge, abilities, and understanding.](#)

[Establishing the Need for Quality](#)

[Focuses attention on the harmful effects of poor quality child care on children and identifies critically important steps to improve infant and toddler care.](#)

[High Quality Supportive Environments for Infants and Toddlers](#)

[How to identify key ways in which the physical environment can promote social emotional development in infants and toddlers, as well as demonstrate the importance of caregiving routines. Identify strategies for using routines to support emotional development of the children.](#)

[Laying the Foundation](#)

[Importance of supporting early learning in infants and toddlers through an overview of early brain development, appropriate curriculum planning for infants and toddlers, language development and understanding discoveries of infancy.](#)

[Linking Literacy with Preschoolers](#)

Practical everyday activities to link language development and literacy in the preschool classroom. Age appropriate suggestions for writing experiences and books to use.

Say What?

Including Children with Speech Challenges – Every child communicates. Eye signals, brief gestures, and five-word sentences are all important signals of the child's needs.

Social Emotional Development of Infants, Toddlers & Their Families

Examines relationships between the child's development and stages of parent development; classify developing social-emotional skills of young children and practice skills for building effective relationships with the children and families.

The Importance of Social Emotional Climate in Infant and Toddler Care Settings

Importance of how early experiences are shaped by individuals with whom infants and toddlers spend their time.

The Link Between: Observation, Assessment, & Language and Literacy

Carefully observing young children in their natural environments give teachers insight in to the strengths, interests, learning styles, culture, and learning potential for each child in their care.

The Role of Meaningful Experiences in Supporting Early Language and Literacy

How meaningful experiences play a central role in children's early language and literacy. Teachers will explore ways that they can create meaningful early language and literacy experiences.

Special Needs

How to individualize accommodations to support individual child's needs for learning and how to respond to family's wishes and concerns.

Supporting Your Bilingual Learner

Importance of supporting children's home language, while helping them learn a different language. Strategies for helping children become bilingual learners.

Targeted Strategies to Build Social Emotional Skills in Toddlers

Identify and implement targeted strategies to intentionally build social emotional skills in infants and toddlers. Literacy, play and friendship skills are discussed.

Understanding Autism

Interactive Power Point presentation specific to the diagnosis of Autism. Related disorders are presented along with teaching techniques and behavior strategies.

- ☐ Career ladder or lattice. Describe The Arizona Career Lattice is a tool within the Arizona Early Childhood Workforce Registry (Registry) that provides the pathway

of education, professional development, and work experience for early childhood professionals to use for individualized assessment, setting professional development goals, and documentation of progress in career development.

- ❑ Articulation agreements between two- and four-year postsecondary early childhood education or degree programs. Describe Articulation agreements exist through each individual community college and university. First Things First convenes the Professional Development Work Group that supports the Professional Development System Building. There are three subgroups that convene on specific policy areas, including Articulation. The Articulation group continues to work on a seamless transition from Community College to University without the loss of credit with degree completion as the goal.
- ❑ Community-based training approved by a state regulatory body to meet licensing or regulatory requirements. Describe Community-based training is available throughout the state at no cost to child care providers. Training is available in a variety of topics, for varying levels of expertise and for different types of child care providers (e.g., home and center based) and age groups (e.g., infant/toddler, preschool and school age). Training related to required health and safety topics are approved by the Arizona Department of Health Services, Bureau of Child Care Licensing. Trainings are typically offered during weekends or evenings to accommodate the schedules of child care providers. All CCDF funded public training is included in Child Care Resource & Referral newsletters. Some training is delivered on-site to the staff of a specific child care facility and is not open to the public. The Registry will house community based professional development and offers a registration component and a report for each individual professional to track their professional development hours and the content of that professional development.
- ❑ Workforce data, including recruitment, retention, registries or other documentation, and compensation information. Describe The Arizona Early Childhood Workforce Registry (Registry) is a web-based system that enables early childhood professionals and those interested in a career in early education to find and register for professional development opportunities and also to keep a record of their experience, education, professional development and credentials in a central location. It is also used to manage application and enrollment in First Things First College Scholarships for Early Childhood Professionals.
- ❑ Advisory structure that provides recommendations for the development, revision, and implementation of the professional development system or framework. Describe In collaboration with BUILD Arizona, First Things First continues to lead, convene, and staff the Professional Development Workgroup, comprised of key cross-

sector stakeholders including faculty from Arizona's institutes of higher education, First Things First Regional Council members, state agency representatives, professional development providers, the Arizona Association for the Education of Young Children, early care and education providers, health and family support service agencies, and representatives from philanthropy. The Professional Development Workgroup continues as the advisory structure for the implementation of the professional development strategic plan to provide feedback and recommendations for ongoing development and implementation.

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

Describe First Things First includes credit bearing professional development as a requirement in the Standards of Practice for all Professional Development for Early Care and Education Professionals grants.

- State-approved trainings. Describe The Arizona Department of Economic Security contracts with a number of entities to provide training and technical assistance throughout the State. In each Arizona County, a single contractor is tasked not only with delivery of these services, but with coordinating the delivery of training within that county. Coordination is required with regard to:

a. Age groups served (i.e. infants, toddlers, preschool, school age, mixed age groups, other);

b. Level of expertise of attendees (i.e. beginner, intermediate, and expert) and scheduling to enable cohorts of child care providers to attend related and/or sequential trainings;

c. Need for the training topic as determined by the

i. Availability of similar topics currently being provided;

ii. Location of similar trainings already offered, and;

iii. Current level of provider participation in these trainings.

d. Geographic location, and;

e. Other child care training funded by the Department of Economic Security Child Care Administration or any other source.

The coordinating contractors are thus contractually required to assess continually the availability of trainings. In addition, the Lead Agency awards training and technical assistance contracts within Arizona counties at a level roughly proportional to the estimated number of providers in each county.

- Inclusion in state and/or regional workforce and economic development plans. Describe The Arizona Department of Economic Security, the CCDF Lead Agency, works in collaboration with the Arizona Department of Education, Arizona Department of

Health Services and First Things First to plan and administer professional development systems and workforce initiatives.

☐ Other. Describe _____

- 6.1.3** Describe how the State/Territory developed its training and professional development requirements in consultation with the State Advisory Council (SAC) on Early Childhood Education and Care (if applicable) or other state or state-designated cross-agency body if there is no SAC The Arizona Early Childhood Development and Health Board (First Things First) is the State Advisory Council. First Things First convenes the Professional Development Work Group that developed the Workforce Knowledge and Competencies and Professional Development Instructor and Technical Assistance Standards. Representatives from the Arizona Department of Economic Security, Child Care Administration are members of the Professional Development Work Group and participated in the development of the competencies and standards.
- 6.1.4** Describe how the State/Territory incorporates knowledge and application of the State’s early learning and developmental guidelines (where applicable), the State/Territory’s health and safety standards (as described in section 5), and incorporates social-emotional/behavioral and early childhood mental health intervention models, which may include positive behavior intervention and support models (as described in Section 2) into its training and professional development requirements (see Information Memorandum on Children’s Social Emotional and Behavioral Health <http://www.acf.hhs.gov/programs/occ/resource/im-2015-01>) The professional development requirements ensure that all professional development offered in the Registry are aligned with the Workforce Knowledge and Competencies. These competencies include eight core knowledge areas that include Health and Safety indicators as well as indicators about effective interactions, typical and atypical behavior, and abuse and neglect. The Competencies are aligned with the Arizona Early Learning Standards and Infant Toddler Developmental Guidelines.
- 6.1.5** Describe how the State’s training and professional development requirements are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF (as applicable) The Registry and all professional development offered through the Registry are accessible to Tribal organizations. Tribal organizations will be required to meet the Instructor and Technical Assistance Standards and align training content with the Workforce Knowledge and Competencies when using the Registry to provide professional development.

- 6.1.6 Describe how the State/Territory’s training and professional development requirements are appropriate, to the extent practicable, for child care providers caring for children receiving child care subsidies, including children of different age groups (such as specialized credentials for providers who care for infants and/or school-age children), English language learners, children with disabilities, and Native Americans, including Indians and Native Hawaiians [The instructor and technical assistance \(TA\) provider requirements ensure that trainers and TA providers have knowledge and skills in the area in which they are instructing. Since all training through the Registry is required to be aligned with a core knowledge area, those who train in these content areas will have knowledge and experience to support the workforce in serving all children.](#)
- 6.1.7 Describe the strategies the State/Territory uses to recruit and retain providers who will serve eligible children. Check all that apply and describe.

- ☐ Financial assistance for attaining credentials and post-secondary degrees. Describe

[Arizona Department of Education](#)

[Arizona Department of Education Preschool Development Grants are offered to enable the delivery of high-quality preschool, and expand high-quality preschool programs in targeted high – need communities. In these targeted zip codes, Bachelor’s degree-level scholarships are prioritized to early childhood educators working for an early learning provider that is a sub-grantee of the Preschool Development Grant. These educators must already possess an AA degree and be working on coursework leading to a Bachelor’s degree with teaching certificate in Early Childhood Education or Early Childhood Special Education. Scholarship opportunities linked to the Preschool Development Grant will be available as long as there is funding.](#)

[First Things First \(State Advisory Council\)](#)

[First Things First College Scholarships are funded to support completion of the Child Development Associate credential \(CDA\), Associate, and Bachelor’s. Bachelor degrees are currently only offered in five regions, except in zip codes identified as eligible to participate in Arizona Department of Education Preschool Development Grant opportunities.](#)

[Program Improvement grants are available through the Quality First program of First Things First. Grants are awarded to enrolled providers based upon needs identified in a Quality Improvement Plan. These grants may be used to cover costs associated with improving quality; this includes training and education expenses. Quality First Program Improvement grants may be used for training and education activities. The following is a](#)

link to the website:

www.azftf.gov/WhatWeDo/Programs/QualityFirst/Pages/FinancialIncentivesPlan.aspx

Department of Economic Security, CCDF Lead Agency

The Professional Career Pathway Project offers scholarships through Central Arizona College for tuition for early childhood education classes offered at community colleges throughout Arizona. The following is a link to the website:

www.centralaz.edu/Home/Academics/Divisions_and_Programs/Early_Childhood_Education_Program/Scholarship_Opportunities.htm

- ☐ Financial incentives linked to education attainment and retention. Describe [The Professional REWARD\\$ program. This First Things First initiative offers financial incentives to child care professionals working with children birth through age five. The program acknowledges and rewards progressive education, educational attainment and commitment to continuous employment at a child care center, group or family child care home regulated by a federal, state or Tribal authority. Approved child care professionals receive financial incentives ranging from \\$300 to \\$2,000 based on their education.](#)
- ☐ Registered apprenticeship programs. Describe _____
- ☐ Outreach to high school (including career and technical) students. Describe _____
- ☐ Policies for paid sick leave. Describe _____
- ☐ Policies for paid annual leave. Describe _____
- ☐ Policies for health care benefits. Describe _____
- ☐ Policies for retirement benefits. Describe _____
- ☐ Support for providers' mental health (such as training in reflective practices and stress reduction techniques, health and mental health consultation services). Describe _____
- ☐ Other. Describe _____

6.1.8 Describe how the State/Territory will recruit providers for whom English is not their first language, or who will serve and be available for families for whom English is not their first language [The Department of Economic Security, CCDF Lead Agency and its recruitment contractors have bilingual staff and provide information in English and Spanish. For other languages, both organizations use translation services \(e.g., Language Line\) or work with community resources for other languages.](#)

6.1.9 How will the Lead Agency overcome language barriers to serve providers for whom English is not their first language? Check the strategies, if any, that your State/Territory has chosen to implement.

- ☒ Informational materials in non-English languages
- ☒ Training and technical assistance in non-English languages
- ☒ CCDF health and safety requirements in non-English languages
- ☒ Provider contracts or agreements in non-English languages

- ☒ Website in non-English languages
- ☒ Bilingual caseworkers or translators available
- ☒ Collect information to evaluate on-going need, recruit, or train a culturally or linguistically diverse workforce
- ☐ Other _____
- ☐ None

If the Lead Agency checked any option above related to providing information or services in other non-English languages, please list the primary languages offered (top 3) or specify that the State has the ability to have translation/interpretation in all primary and secondary languages [Spanish is the primary language for translation/interpretation of information and pertinent materials. For other languages, translation services \(e.g., Language Line\) and other community resources are used.](#)

6.1.10 The State/Territory must use CCDF for activities to improve the quality or availability of child care, including training and technical assistance to providers on identifying and serving homeless children and families. (658E(c)(3)(B)(i) Describe the status of the State/Territory's training and technical assistance to providers on identifying and serving homeless children and their families (connects to Section 3.2.2).

- ☐ Yes. The State certifies that no later than March 1, 2016 it will provide training and technical assistance to providers on identifying and serving homeless children and their families. Describe that training and technical assistance for providers _____
- ☐ No. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
- Overall Target Completion Date (no later than September 30, 2016) [September 30, 2016](#)
 - Overall Status – Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) [not yet started](#)
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____

- Unmet requirement - Identify the requirement(s) to be implemented [Training needs to be developed by the CCDF Lead Agency and trained to providers statewide.](#)
- Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) [Develop a Computer Based Training \(CBT\) module and place on the Department of Economic Security website and/or consumer education website.](#)
 - Projected start date for each activity
[Develop CBT module: January 2016](#)
[Place on website: September 30, 2016](#)
 - Projected end date for each activity
[Develop CBT module: March 31, 2016](#)
[Place on website: September 30, 2016](#)
 - Agency – Who is responsible for complete implementation of this activity
[Arizona Department of Economic Security, Child Care Administration](#)
 - Partners – Who is the responsible agency partnering with to complete implementation of this activity [Arizona Department of Education, State Director of the McKinney-Vento Homeless Education, Special Projects Division; Child Care Resource & Referral \(CCR&R\) contractor](#)

6.2 Supporting Training and Professional Development of the Child Care Workforce with CCDF Quality Funds

States and Territories may use the quality set-aside discussed in detail in section 7 to support the training and professional development of the child care workforce.

6.2.1 Does the State/Territory fund the training and professional development of the child care workforce?

☐ Yes. If yes,

- a) Describe the measures relevant to this use of funds that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory.

[First Things First \(State Advisory Council\)](#)

Quality First, the state's Quality Improvement and Rating System (QIRS), evaluates the quality of early care and education programs through the use of the Environment Rating Scales, Classroom Assessment Scoring System, and Quality First Points Scale (administrative practices) on an annual or bi-annual basis (depending on the level of quality).

Professional Development for Early Care and Education is funded through Regional Councils to support both teachers/assistant teachers and Administrators.

First Things First College Scholarships are funded to support completion of the Child Development Associate credential (CDA), Associate, and Bachelor's degrees. Bachelor's degrees are currently only offered in five regions, except in zip codes identified as eligible to participate in Arizona Department of Education Preschool Development Grant opportunities. In these zip codes, Bachelor's degree-level scholarships are prioritized to early childhood educators working for an early learning provider that is a sub-grantee of the Preschool Development Grant. These educators must already possess an AA degree and be working on coursework leading to a Bachelor's degree with teaching certificate in Early Childhood Education or Early Childhood Special Education. Scholarship opportunities linked to the Preschool Development Grant will be available as long as there is funding.

Language, literacy and Communication on-site consultation is funded on one region.

Inclusion of Children with Special Needs on-site coaching is funded in three regions.

First Things First offers a variety of coaches and consultant services: The Quality First coach provides an initial orientation and, when the assessment is completed, the coach reviews the findings with each provider and develops a quality improvement plan. Coaches also assist centers and homes in submitting their requests for financial incentives tied to their Quality Improvement Plan.

A Child Care Health Consultant is a health professional with specialized training and experience with young children, and provides consultation to child care providers. Child Care Health Consultants assist child care providers in achieving standards related to the health and safety of children in their care. Child Care Health Consultants offer periodic visits as well as responding to requests to provide assistance regarding the health of a specific child in care.

Mental Health Consultation is provided by the Smart Support program. Smart Support consultants design individualized plans to meet the needs for children at specific child care sites. Services include training, consultation, implementation of classroom strategies and resources or referrals for specific children or situations.

Inclusion Coaches work with early childhood education staff to improve their ability to successfully include children with special needs. This may be accomplished by: Helping staff recognize children with delays; educating staff about available resources and referral processes; coordinating with therapists to insure appropriate service delivery; promoting individualized group instruction; and facilitating staff efforts to include families to a greater degree in planning for the services delivered to their child.

Arizona Department of Economic Security, CCDF Lead Agency

The CCDF Lead Agency contracts with a variety of organizations to provide training and technical assistance (TA) for professional development of the child care workforce through the Arizona Self-Study Project. This Project is designed to assist early care and education programs to improve and sustain a higher quality of care and education provided to young children and to achieve national accreditation. The service through this contract provides assessment, technical assistance, resources, support and guidance to early care and education programs throughout the state of Arizona.

Through the Arizona Self-Study Project, licensed child care centers, certified child care group homes, and certified family child care home providers work to achieve accreditation through the following national accreditation agencies.

- Council on Accreditation Afterschool
- National Association for the Education of Young Children
- National Accreditation Commission/National Association of Child Care Professionals
- National Child Care Association
- Association Montessori International
- American Montessori Society
- National Association for Family Child Care

Technical Assistance:

The Arizona Self-Study Project provides technical assistance and assesses child care providers' progress in improving the quality of child care programs utilizing a national accreditation tool. The technical assistance is given in person, via phone or online to best fits the needs of the child care programs.

Evaluation:

A pre-quality evaluation at initial enrollment in the Arizona Self-Study Project is conducted, and the evaluation is repeated annually thereafter to monitor the progress. A post evaluation is conducted as well to measure quality improvement.

Financial Assistance:

The financial assistance in the form of Mini-grants is available to providers who have actively participated in Arizona Self-Study Project and have demonstrated positive efforts towards the implementation of quality improvement plans.

Meetings:

The Arizona Self-Study Project provides an opportunity for all program participants to network and to improve professional development through regularly scheduled meetings/conference.

Contracts to support child care programs for children residing in homeless or domestic violence shelters includes training of teachers and other staff as well as the requirement to obtain and/or retain national accreditation or the Quality First Star Rating in the quality level for the child care program.

Child Care for Children with Special Needs is a contract offered to licensed child care centers, certified child care group homes and certified family child care providers that provide enhanced services to children with special needs. The contract includes training of teachers and other staff who care for children with special needs and the requirement of the provider to obtain and/or retain the national accreditation of the child care program.

Occupational Vocational Education provides early childhood education training on a variety of topics to licensed child care centers, certified child care group homes, certified and unregulated family child care home providers. The follow-up technical assistance is available to child care providers that attend training to implement concepts learned in training. In addition, receiving college credit for the training may be an option.

Qualifications for instructor and technical assistance coaches are as follows:

- An Associate Degree in early childhood education or related field;
- At least six months experience working in an early care and education setting or in the topical area of the training;
- A working knowledge of care for children with disabilities and/or special health care needs, if applicable to the training;

- [A working knowledge of early care and education quality standards in areas such as room arrangement, developmentally appropriate practices, positive behavior guidance, transitions and child centered learning when applicable to the training;](#)
- [A working knowledge of Arizona’s infant toddler Developmental Guidelines;](#)
- [A working knowledge of Arizona’s Early Learning Standards;](#)
- [A working knowledge of adult learning principles; and](#)
- [A Bachelor or Master’s degree in early childhood education or a related field \(preferred\).](#)

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

☐ CCDF funds. Describe [Quality Set-Aside, Discretionary Targeted Funds; Expansion, Infant & Toddler and School Age/Resource & Referral](#)

☐ Other funds. Describe [First Things First Tobacco Revenue](#)

c) Check which content is included in training and professional development activities. Check all that apply.

☐ Promoting the social, emotional, physical, and cognitive development of children, including those related to nutrition and physical activity, using scientifically-based, developmentally-appropriate and age-appropriate strategies as required in 6.1.1c. Describe

[Arizona Department of Education](#)

[The Arizona Department of Education – Early Childhood Education, Program Specialist provides professional development on Arizona Early Learning Standards \(AzELS\) and Infant/Toddler Developmental Guidelines \(ITDG\). In addition to the AzELS and ITDG, the Arizona Department of Education – Early Childhood Education Program Specialist provides professional development in the following areas: appropriate use of assessment with children from birth to third grade, supports for children with special needs, ensuring cultural and linguistical responsibility, and other related topics.](#)

[Arizona Department of Economic Security, CCDF Lead Agency](#)

[Arizona Department of Economic Security contracts for statewide child care provider training through community partners. Training is offered on child development, which also includes social/emotional and cognitive development, as well as nutrition and physical activity via developmentally appropriate and age appropriate teaching strategies.](#)

First Things First (State Advisory Council)

Quality First Coaching

- Quality First, the states Quality Improvement and Rating System, evaluates the quality of early care and education programs through the use of the Environment Rating Scales, Classroom Assessment Scoring System, and Quality First Points Scale (administrative practices) on an annual or bi-annual basis (depending on the level of quality).
- As part of the curriculum and child assessment portion, programs must show documentation that the instructional staff, directors and assistant directors have completed professional development on the Introduction to the Infant/Toddler Developmental Guidelines (ITDG) and the Introduction to the Arizona Early Learning Standards (AzELS). The Infant/Toddler Developmental Guidelines (ITDG) and Arizona Early Learning Standards (AzELS) must also be reflected in the written activity or lesson plans.
- The Quality First coach provides an initial orientation and, when the assessment is completed, the coach reviews the findings with each provider and develops a quality improvement plan. Coaches also assist centers and homes in submitting their requests for financial incentives tied to their Quality Improvement Plan.
- Child Care Health Consultant (CCHC) is a health professional with specialized training and experience with young children, and provides consultation to child care providers. Child Care Health Consultants assist child care providers in achieving standards related to the health and safety of children in their care. Child Care Health Consultants offer periodic visits as well as responding to requests to provide assistance regarding the health of a specific child in care.
- Mental Health Consultation (MHC) is provided by the Smart Support program. Smart Support consultants design individualized plans to meet the needs for children at specific child care sites. Services include training, consultation, implementation of classroom strategies and resources or referrals for specific children or situations.
- Inclusion Coaches work with early childhood education staff to improve their ability to successfully include children with special needs. This may be accomplished by: Helping staff recognize children with delays; educating staff about available resources and referral processes; coordinating with therapists to insure appropriate service delivery; promoting individualized group instruction; and facilitating staff efforts to include

families to a greater degree in planning for the services delivered to their child.

- Communities of Practice (Pima)
- Professional Development for Early Care and Education Professionals
- Language, Literacy and Communication in Early Childhood Education Settings
- First Things First College Scholarships

- ☐ Implementing behavior management strategies, including positive behavior interventions and support models that promote positive social -emotional development and early childhood mental health and reduce challenging behaviors, including reducing expulsions of preschool-aged children from birth to five for such behaviors (see also Section 2). Describe

Arizona Department of Education

The Arizona Department of Education – Early Childhood Education, Program Specialist provides professional development on Arizona Early Learning Standards (AzELS) and Infant/Toddler Developmental Guidelines (ITDG). In addition to the Arizona Early Learning Standards (AzELS) and Infant/Toddler Developmental Guidelines (ITDG), the Arizona Department of Education – Early Childhood Education Program Specialist provides professional development in the following areas: appropriate use of assessment with children from birth to third grade, supports for children with special needs, ensuring cultural and linguistical responsibility, and other related topics.

Arizona Department of Economic Security, CCDF Lead Agency

Arizona Department of Economic Security, Child Care Administration contracts for statewide child care provider training through community partners. Training is offered on child development, which also includes behavior management strategies, positive behavior interventions and support models that promote positive social/emotional development.

First Things First (State Advisory Council)

Mental Health Consultation (MHC) is provided by the Smart Support program. Smart Support consultants design individualized plans to meet the needs for children at specific child care sites. Services include training, consultation, implementation of classroom strategies and resources or referrals for specific children or situations.

The Quality First coach provides an initial orientation and, when the assessment is completed, the coach reviews the findings with each provider and develops a quality improvement plan.

As part of the Quality First curriculum and child assessment portion, programs must show documentation that the instructional staff, directors and assistant directors have completed professional development on the Introduction to the Infant/Toddler Developmental Guidelines (ITDG) and the Introduction to the Arizona Early Learning Standards (AzELS). The Arizona Early Learning Standards (AzELS) and Infant/Toddler Developmental Guidelines (ITDG) must also be reflected in the written activity or lesson plans.

- ☐ Engaging parents and families in culturally and linguistically appropriate ways to expand their knowledge, skills, and capacity to become meaningful partners in supporting their children’s positive development. Describe

Arizona Department of Education

The Arizona Department of Education – Early Childhood Education Program Specialist provides professional development on Arizona Early Learning Standards (AzELS) and Infant/Toddler Developmental Guidelines (ITDG). In addition to the Arizona Early Learning Standards (AzELS) and Infant/Toddler Developmental Guidelines (ITDG), the Arizona Department of Education – Early Childhood Education Program Specialist provides professional development in the following areas: appropriate use of assessment with children from birth to third grade, supports for children with special needs, ensuring cultural and linguistic responsibility, and other related topics.

Arizona Department of Economic Security, CCDF Lead Agency

Arizona Department of Economic Security contracts for statewide child care provider training through community partners. Training is offered on family engagement and cultural sensitivity to support their child’s positive development.

First Things First (State Advisory Council)

- The Quality First coach provides an initial orientation and, when the assessment is completed, the coach reviews the findings with each provider and develops a quality improvement plan.
- Language, Communication and Literacy may include a family education component.

- ☐ Developmentally appropriate, culturally and linguistically responsive instruction and evidence-based curricula, and learning environments that are aligned with the State/Territory Early Learning and Development Standards. Describe

Arizona Department of Education

The Arizona Department of Education – Early Childhood Education (ADE- ECE) Program Specialist provides professional development on Arizona Early Learning Standards (AzELS) and Infant/Toddler Developmental Guidelines (ITDG). In addition to the Arizona Early Learning Standards (AzELS) and Infant/Toddler Developmental Guidelines (ITDG), the Arizona Department of Education – Early Childhood Education Program Specialist provides professional development in the following areas: appropriate use of assessment with children from birth to third grade, supports for children with special needs, cultural responsiveness, and other related topics.

Arizona Department of Economic Security, CCDF Lead Agency

Arizona Department of Economic Security contracts for statewide child care provider training through community partners. Training is offered that is designed to promote the ability of providers to create learning experiences and environments that are developmentally appropriate and culturally/linguistically responsive, and that are aligned with Arizona Early Learning Standards (AzELS) and Infant/Toddler Developmental Guidelines (ITDG) to support child development.

First Things First (State Advisory Council)

The Quality First coach provides an initial orientation and, when the assessment is completed, the coach reviews the findings with each provider and develops a quality improvement plan.

As part of the Quality First curriculum and child assessment portion, programs must show documentation that the instructional staff, directors, and assistant directors have completed professional development on the Introduction to the Infant/Toddler Developmental Guidelines (ITDG) and the Introduction to the Arizona Early Learning Standards (AzELS). The Arizona Early Learning Standards (AzELS) and Infant/Toddler Developmental Guidelines (ITDG) must also be reflected in the written activity or lesson plans.

- ☐ On-site or accessible comprehensive services for children and community partnerships that promote families' access to services that support their children's learning and development. Describe

First Things First (State Advisory Council)

Mental Health Consultation is provided by the Smart Support program. Smart Support consultants design individualized plans to meet the needs for children at specific child care sites. Services include training, consultation, implementation of classroom strategies and resources or referrals for specific children or situations.

A Child Care Health Consultant is a health professional with specialized training and experience with young children, and provides consultation to child care providers. Child Care Health Consultants assist child care providers in achieving standards related to the health and safety of children in their care. Child Care Health Consultants offer periodic visits as well as responding to requests to provide assistance regarding the health of a specific child in care.

Inclusion Coaches work with early childhood education staff to improve their ability to successfully include children with special needs. This may be accomplished by: Helping staff recognize children with delays; educating staff about available resources and referral processes; coordinating with therapists to insure appropriate service delivery; promoting individualized group instruction; and facilitating staff efforts to include families to a greater degree in planning for the services delivered to their child.

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

Arizona Department of Education

- The Arizona Department of Education – Early Childhood Education Program Specialist—the Preschool assessment cycle and ongoing progress monitoring
- Arizona Department of Education – Early Childhood Education Data Strategist—Using Teaching Strategies GOLD data to inform instruction
- Arizona Department of Education – Early Childhood Education Program Specialist—Using the Early Childhood Quality Improvement Practices (ECQUIP) Process

First Things First (State Advisory Council)

- Quality First Coaching – use of valid and reliable program assessment reports for Childhood Quality Improvement
- Quality First Coaching – use of ongoing child assessment.

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

Arizona Department of Economic Security, CCDF Lead Agency

- Contracts with providers that offer on-site child care for children residing in homeless or domestic violence shelters. Through these contracts, the CCDF Lead Agency is able to work with child care providers who care for children and assist their parents/guardians in achieving their goals of attaining necessary life-skills training and obtaining employment.
- The Home Recruitment, Study and Supervision contractors target recruitment of family child care home providers and in-home providers who specifically serve in geographic areas with significant concentrations of poverty and the areas that shows high demand for child care subsidy recipients.

- ☐ Caring for and supporting the development of children with disabilities and developmental delays. Describe

First Things First (State Advisory Council)

Inclusion Coaches work with early childhood education staff to improve their ability to successfully include children with special needs. This may be accomplished by: Helping staff recognize children with delays; educating staff about available resources and referral processes; coordinating with therapists to insure appropriate service delivery; promoting individualized group instruction; and facilitating staff efforts to include families to a greater degree in planning for the services delivered to their child.

Arizona Department of Economic Security, CCDF Lead Agency

- Child Care for Children with Special Needs contract provides financial assistance that includes staff training specific to child care providers who care for children with special needs. These providers deliver enhanced child care services that integrate children with special needs into the existing developmentally appropriate child care environment. These providers also develop and implement a plan that supports children with special needs to actively engage with peers and caregivers and to participate in developmentally appropriate activities. They also establish partnerships with local school districts, Head Start/Early Head Start, and Arizona Early Intervention Project (AzEIP). AzEIP is Arizona's comprehensive, coordinated statewide system of early intervention supports and services for children from birth to three years old who have disabilities or developmental delays.

- Child Care Professional Training (CCPT), is a 60-hour introductory training that is delivered utilizing the Child Care Professional Training curriculum that is separated into ten modules. Module V is dedicated to children with special needs. The participants receive training in the areas of: inclusion; collaboration with parents and other professionals; roles of parents and teachers; assessment; activity-based approach to inclusion; development of inclusive activities; and adaptations.

☐ Supporting positive development of school-age children. Describe

Arizona Department of Economic Security, CCDF Lead Agency

- There is a variety of trainings for child care professionals working with school-age children available. All training offered through CCDF Lead Agency contracts, with the exception of Infant/Toddler training, covers supporting positive development of school-age children. One of the examples of such training is cyber-bullying which trains child care providers regarding the effects and the consequences for children being bullied and some of the approaches the providers may be able to take in assisting children to cope with the situation.
- The Arizona Self-Study Project also assists child care providers who wish to be accredited through national accreditation agencies specifically designed for school-age children such as Council on Accreditation Afterschool.

☐ Other. Describe _____

d) Check how the State/Territory connects child care providers with available Federal and State/Territory financial aid, or other resources for pursuing postsecondary education relevant for the early childhood and school-age workforce. Check all that apply.

☐ Coaches, mentors, consultants, or other specialists available to support access to postsecondary training including financial aid and academic counseling

First Things First (State Advisory Council)

Outreach coordinators are funded through the Network to support the workforce in accessing higher education through First Things First College Scholarships. Institutes of Higher Ed Early Childhood Education faculty and staff offer academic counseling for students.

Arizona Department of Economic Security, CCDF Lead Agency

Professional Career Pathway Project has developed collaborative partnerships among community colleges statewide to coordinate and support these services and work closely with each student/child care provider who receives assistance

through this contract. Technical assistance is available at the community college level where a student/child care provider attends.

- ☐ State/Territory-wide, coordinated, and easily accessible clearinghouse (i.e. online calendar or listing of opportunities) of relevant postsecondary education opportunities

First Things First (State Advisory Council)

The Professional Development Website at www.azearlychildhood.org includes a listing of the credentials, certificates and degrees available.

- ☐ Financial awards (such as scholarships, grants, loans, reimbursement for expenses) from State/Territory for completion of postsecondary education

First Things First (State Advisory Council)

The Professional Development Website www.azearlychildhood.org includes a listing of scholarships and incentives available for the early care and education workforce.

Arizona Department of Economic Security, CCDF Lead Agency

Professional Career Pathway Project provides instruction in post-secondary areas which are a part of an academic program. Specifically, this service provides instruction/training for development and enhancement of professional care-giving skills for child care providers. It also provides financial assistance to cover college tuition, registration fees, course fees, and textbook stipend to child care providers.

Other. Describe

- ☐ No

6.2.2 Does the State/Territory require a specific number of annual training hours for child care providers caring for children receiving CCDF subsidies and in particular content areas? States and Territories are encouraged to consult with *Caring for our Children* for best practices and recommended time needed to address training hour requirements.

- ☐ Yes. If yes, describe:

a) Licensed Center-Based Care

- 1) Number of pre-service or orientation hours and any required areas/content Licensed Centers and Group Homes are required to have 16 hours of pre-service health and safety training. All licensed centers and group homes will have received this training by September 30, 2016 (as specified in

section 5.1.5 of the plan). The 16 hours of pre-service health and safety training includes:

1. The prevention and control of infectious diseases (including immunization);
2. The prevention of sudden infant death syndrome and use of safe sleeping practices;
3. The administration of medication, consistent with standards for parental consent
4. The prevention of and response to emergencies due to food and allergic reactions;
5. Building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water and vehicular traffic;
6. The prevention of shaken baby syndrome and abusive head trauma;
7. Disaster Emergency Evacuation Preparedness – D.E.E.P.™ Online Training through the Arizona Department of Health Service (DHS);
8. The handling and storage of hazardous materials and the appropriate disposal of bio-contaminants; and
9. Appropriate precautions in transporting children; and,
10. Recognizing and reporting child abuse, including State law for mandatory reporting.

Orientation Training for Arizona Department of Health Services (DHS) Licensed Centers

According to Administrative Rule at A.A.C. R9-5-403.(A): Within 10 days of the starting date of employment or volunteer service, a licensee shall provide, and each staff member who provides child care services shall complete, training for new staff members that includes all of the following:

1. Facility philosophy and goals;
2. Names and ages of and developmental expectations for enrolled children for whom the staff member will provide child care services;
3. Health needs, nutritional requirements, any known allergies, and information about adaptive devices of enrolled children for whom the staff member will provide child care services;
4. Lesson plans;
5. Child guidance and methods of discipline;
6. Hand washing techniques;

7. Diapering techniques and toileting, if assigned to diaper changing duties;
 8. Food preparation, service, sanitation, and storage, if assigned to food preparation;
 9. If a staff member is assigned to feeding infants, the preparation, handling, and storage of infant formula and breast milk;
 10. Recognition of signs of illness and infestation;
 11. Child abuse or neglect detection, prevention, and reporting;
 12. Accident and emergency procedures;
 13. Staff responsibilities as required by A.R.S. Title 36, Chapter 7.1, Article 1 and A.A.C. R9-5;
 14. Sun safety policies and procedures;
 15. Safety in outdoor activity areas;
 16. Transportation procedures, if applicable; and
 17. Field trip procedures, if applicable.
- 2) Number of on-going hours and any required areas/content

Ongoing Training Requirement for Arizona Department of Health Services (DHS) Licensed Centers

According to Administrative Rule at A.A.C. R9-5-403. (B)

Each staff member who provides child care services completes 18 or more actual hours of training every 12 months after the staff member's starting date of employment or volunteer service in at least two topics listed below:

1. Child growth and development, including:
 - a) Infant growth and development, which may include sudden infant death syndrome prevention;
 - b) Developmental psychology;
 - c) Language development;
 - d) Observation and child assessment;
 - e) Developmentally-appropriate activities;
 - f) Child guidance and methods of discipline which may include training on the appropriate techniques to prevent a child from harm or to prevent the child from harming others; and
 - g) Developmentally-appropriate activity areas;
2. Health and safety issues, including:
 - a) Accident and emergency procedures, including CPR and first aid for infants and children;
 - b) Recognition of signs of illness and infestation;

- c) Nutrition and developmentally-appropriate eating habits;
- d) Child abuse detection, reporting, and prevention;
- e) Outdoor activity areas; and
- f) Sun safety policies and procedures;
- 3. Program administration, planning, development, or management; and
- 4. Availability of community services and resources, including those available to children with special needs.

As part of the required 18 hours of training:

- a) A staff member who has less than 12 months of child care experience before the staff member's starting date, completes at least 12 hours in one or more of the topics in section 1 above, in the staff member's first 12 months at the facility;
- b) A staff member who has 12 months or more of child care experience, completes at least 6 hours in one or more of the topics in section 1 every 12 months after the staff member's starting date;
- c) A staff member who provides child care services to an infant completes at least 6 hours in section 1 a) every 12 months after the staff member's starting date; and
- d) A facility director completes at least 6 hours in section 3 every 12 months after the facility director's starting date.

b) Licensed Group Child Care Homes

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

Orientation Training for Arizona Department of Health Services (DHS) Licensed Group Homes

According to Administrative Rule at A.A.C. R9-3-302(A): Within 10 days after the starting date of employment or volunteer service, a certificate holder shall provide, and each staff member shall complete, training for new staff members that include all of the following:

- 1. Names, ages, and developmental stages of enrolled children;
- 2. Health needs, nutritional requirements, any known allergies, and information about adaptive devices of enrolled children;
- 3. Guiding and disciplining children;
- 4. Hand washing techniques;
- 5. Diapering techniques and toileting, if any enrolled children are in diapers or require assistance in using the toilet;

6. Sudden infant death syndrome awareness, if child care services are provided to an infant or a one-year-old child;
 7. Preparing, serving, and storing food;
 8. Preparing, handling, and storing infant formula and breast milk, if any enrolled children are fed infant formula or breast milk;
 9. Recognizing signs of illness and infestation;
 10. Detecting, preventing, and reporting child abuse or neglect;
 11. Responding to accidents and emergencies;
 12. Sun safety;
 13. Procedures for trips away from the child care group home, if applicable; and
 14. Staff responsibilities as required by A.R.S. Title 36, Chapter 7.1, Article 4 and A.A.C. R9-3.
- 2) Number of on-going hours and any required areas/content

Ongoing Training Requirement for Arizona Department of Health Services (DHS) Licensed Group Homes:

According to Administrative Rule at A.A.C. R9-3-302(C): A certificate holder shall ensure that each staff member completes a total of 12 or more actual hours of training every 12 months after becoming a staff member in two or more of the following:

1. Child growth and development, which may include sudden infant death prevention;
2. Developmentally appropriate activities;
3. Nutrition and developmentally appropriate eating habits;
4. Responding to accidents and emergencies, including CPR and first aid for infants and children;
5. Recognizing signs of illness and infestation;
6. Detecting, preventing, and reporting child abuse or neglect;
7. Guiding and disciplining children; and
8. Availability of community services and resources, including those available to children with special needs.

c) Licensed Family Child Care Provider

- 1) Number of pre-service or orientation hours and any required areas/content
Department of Economic Security Child Care Administration's Home Recruitment Study and Supervision (HRSS) contractors statewide provide the required 12 hours of pre-service health and safety training and 8 hours

of Developmentally Appropriate Practices (DAP) training prior to certification of family child care providers. All Department of Economic Security certified homes will have received the required 12 hours of health and safety training by September 30, 2016 (as specified in section 5.1.5 of the plan).

The 12 hours of pre-service health and safety training includes:

1. The prevention and control of infectious diseases (including immunization);
2. The prevention of sudden infant death syndrome and use of safe sleeping practices;
3. The administration of medication, consistent with standards for parental consent
4. The prevention of and response to emergencies due to food and allergic reactions;
5. Building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water and vehicular traffic;
6. The prevention of shaken baby syndrome and abusive head trauma;
7. Emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event (such as violence at a family child care home), 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))
8. The handling and storage of hazardous materials and the appropriate disposal of bio-contaminants; and
9. Appropriate precautions in transporting children; and,
10. Recognizing and reporting child abuse, including State law for mandatory reporting.

The 8 hour Developmentally Appropriate Practices curriculum covers “Setting up a Childcare Business”, “Creating a Community of Learners”, “Teaching to Enhance Development and Learning” and “How to Be Marketable”. Once a provider is certified and receives an authorization to care for a child funded by CCDF, the provider must complete CPR and First Aid training, and will participate in up to three billing trainings from the HRSS contractor. Thereafter all certified providers may receive ongoing technical assistance to improve their program or for additional help with

billing or paperwork from the Department of Economic Security child care specialist or contracted HRSS staff.

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

Department of Economic Security certified family child care providers are required to complete 6 hours of training annually. Certified family child care providers can choose from the following training topics to satisfy the ongoing training requirement:

- The Department's child care program, policies, and procedures;
- Child health and safety, including recognition, control, and prevention of illness and disease;
- Child growth and development;
- Child abuse prevention, detection, and reporting;
- Positive guidance and discipline;
- Child nutrition;
- Communication with families; family involvement;
- Developmentally appropriate practices; and
- Other similar subjects designed to improve the provider's ability to provide child care.

d) Any other eligible CCDF provider

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

Non-certified relative providers (NCRPs) receive a 2.5 hour orientation which includes appropriate discipline practices, billing and payment processes, and information on the Child and Adult Care Food Program (CACFP).

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

No additional training hours are required for non-certified relative providers (NCRPs).

☐ No

6.2.3 Describe the status of the State/Territory's policies and practices to strengthen provider's business practices.

- ☐ Fully implemented as of March 1, 2016. Describe the State strategies including training, education, and technical assistance to strengthen provider's business practices. This may include, but is not limited to, such practices related to fiscal management, budgeting, record-keeping, hiring, developing, and retaining qualified staff, risk management,

community relationships, marketing and public relations, and parent-provider communications, including who delivers the training, education and/or technical assistance

Arizona Department of Economic Security, CCDF Lead Agency

CCDF Lead Agency Certified Family Child Care providers currently receive orientation training consisting of 8 hours of Developmentally Appropriate Practice and 16 hours of Health and Safety pre-service training. The training includes handouts, resources, supplies, and forms to help them get started. The curriculum covers the following topics:

- Setting up a Childcare Business
- Creating a Community of Learners
- Teaching to Enhance Development and Learning
- How to be Marketable

This training is currently presented by Home Recruitment Study and Supervision contractors statewide before providers are certified. Once a provider is certified and receives an authorization to care for a child funded by CCDF, the provider will participate in up to three billing and payment trainings from the Home Recruitment Study and Supervision contractor. Thereafter all certified providers may receive ongoing technical assistance to improve their program or for additional help with billing or paperwork from a CCDF Lead Agency employee or a contracted employee (depending on the provider's location).

First Things First (State Advisory Council)

First Things First College Scholarships are specifically targeted to support Early Childhood Education (ECE) or related field degrees. However, students receiving scholarships are eligible to take business management coursework through the scholarship program even if that content is not a requirement of their Early Childhood Education or related field degree.

Program Improvement grants are available through the Quality First program of First Things First. Grants are awarded to enrolled providers based upon needs identified in a Quality Improvement Plan. These grants may be used to cover costs associated with improving quality; this includes training and education expenses. Quality First Program Improvement grants may be used for training and education activities. For more information, the following is a link to the website:

www.aztf.gov/WhatWeDo/Programs/QualityFirst/Pages/FinancialIncentivesPlan.aspx

- ☐ Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion

date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.

- Overall Target Completion Date (no later than September 30, 2016) _____
- Overall Status – Describe the State/Territory’s overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
- Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - o Projected start date for each activity _____
 - o Projected end date for each activity _____
 - o Agency – Who is responsible for complete implementation of this activity _____
 - o Partners – Who is the responsible agency partnering with to complete implementation of this activity _____

6.3 Early Learning and Developmental Guidelines

The CCDBG Act of 2014 added a requirement that the State/Territory will develop, maintain, or implement early learning and developmental guidelines that are appropriate for children in a forward progression from birth to kindergarten entry (i.e., birth-to-three, three-to-five, or birth-to-five), describing what such children should know and be able to do, and covering the essential domains of early childhood development for use State/Territory wide by child care providers. (658E(c)(2)(T)) At the option of the State/Territory, early learning and development guidelines for out-of-school time may be developed. States and Territories may use the quality set-aside as discussed in section 7 to improve on the development or implementation of early learning and development guidelines.

6.3.1 Describe the status of the State/Territory’s early learning and development guidelines appropriate for children from birth to kindergarten entry.

☒ The State/Territory assures that the early learning and development guidelines are:

- Research-based, developmentally appropriate, culturally and linguistically appropriate, and aligned with entry to kindergarten
- Implemented in consultation with the State educational agency and the State Advisory Council (SAC) or other state or state-designated cross-agency body if there is no SAC

- Updated as determined by the State. List the date or frequency [Arizona Early Learning Standards \(AzELS\) were last revised in May 2013 and the Infant/Toddler Developmental Guidelines \(ITDG\) were last revised in September 2012. They will be revised again in approximately 5 years.](#)
- ☐ Fully implemented and meeting all Federal requirements outlined above as of March 1, 2016. List the Lead Agency's policy citation(s) and describe using 6.3.2 through 6.3.4 below
- ☐ Not implemented. The State/Territory must provide a State/Territory-specific implementation plan for achieving compliance with this requirement, including planned activities, necessary legislative or regulatory steps to complete, and target completion date (no later than September 30, 2016). Please provide brief text responses and descriptions only. Do not cut and paste charts or tables here. Your responses will be consolidated electronically into an Implementation Plan summary report.
 - Overall Target Completion Date (no later than September 30, 2016) _____
 - Overall Status – Describe the State/Territory's overall status toward complete implementation for this requirement(s) (not yet started, partially implemented, substantially implemented, other) _____
 - o Implemented requirement(s) – Identify any requirement(s) implemented to date if applicable _____
 - o Unmet requirement - Identify the requirement(s) to be implemented _____
 - Tasks/Activities – What specific steps will you take to implement the unmet requirement (e.g., legislative or rule changes, modify agreements with coordinating agencies, etc.) _____
 - o Projected start date for each activity _____
 - o Projected end date for each activity _____
 - o Agency – Who is responsible for complete implementation of this activity _____
 - o Partners – Who is the responsible agency partnering with to complete implement this activity _____

6.3.2 Check for which age group(s) the State/Territory has established early learning and development guidelines:

☒ Birth-to-three. Provide a link

http://www.azed.gov/early-childhood/files/2012/10/az_infant_toddler_guidelines_complete-2.pdf;
http://www.azftf.gov/WhoWeAre/Board/Documents/az_infant_toddler_guidelines.pdf

☒ Three-to-Five. Provide a link

<http://www.azed.gov/early-childhood/files/2011/11/arizona-early-learning-standards-3rd-edition.pdf>
<http://www.azed.gov/early-childhood/files/2013/02/binder1-standards-f.pdf>
http://www.azed.gov/early-childhood/files/2013/01/ecrri_administrators_guide_2000.pdf

☒ Birth-to-Five. Provide a link

http://www.azed.gov/early-childhood/files/2012/10/az_infant_toddler_guidelines_complete-2.pdf;
http://www.azftf.gov/WhoWeAre/Board/Documents/az_infant_toddler_guidelines.pdf
<http://www.azed.gov/early-childhood/files/2011/11/arizona-early-learning-standards-3rd-edition.pdf>
<http://www.azed.gov/early-childhood/files/2013/02/binder1-standards-f.pdf>
http://www.azed.gov/early-childhood/files/2013/01/ecrri_administrators_guide_2000.pdf

☒ Five and older (check if State/Territory has standards for five and older that complement academic but cover child development areas not covered by k-12 academic standards). Describe and provide a link [The Arizona Center for Afterschool Excellence has developed Arizona Quality Standards for Out-of-school Time Programs. The standards are supplemented by assessment and professional development to focus on quality improvement for out-of-school child care programs that complement academic learning. The following is a link to the website:](#)

<http://azafterschool.org/promoting-quality/quality-standards/>

☐ Other. Describe _____

6.3.3 Does the State/Territory use CCDF quality funds to improve on the development or implementation of early learning and development guidelines by providing technical assistance to child care providers to enhance children's cognitive, physical, social and emotional development and support children's overall well-being?

- ☐ Yes, the State/Territory has a system of technical assistance operating State/Territory-wide
- ☐ Yes, the State/Territory has a system of technical assistance operating as a pilot or in a few localities but not State/Territory-wide
- ☐ No, but the State/Territory is in the development phase
- ☐ No, the State/Territory has no plans for development

a) If yes, check all that apply to the technical assistance and describe.

- ☐ Child care providers are supported in developing and implementing curriculum/learning activities based on the State's/Territory's early learning and development guidelines. Describe

[Arizona Department of Education](#)

The Arizona Department of Education Early Childhood Education (ADE-ECE) unit has created 4 to 6-hour modules for each of Arizona’s Infant and Toddler Development Guidelines and for each of the Arizona Early Learning Standards (AzELS), 3rd Edition. Professional development opportunities are provided throughout the state by a team of program specialists that work with programs in the communities including school districts, Head Starts, private providers, faith-based providers, home providers and home visitors. The Arizona Department of Education Early Childhood Education is also working with Institutes of Higher Education to make sure that the standards and guidelines are a part of the course work in community college and university classes.

Arizona Department of Economic Security, CCDF Lead Agency

The Arizona Department of Economic Security CCDF Lead Agency contracts with a number of entities to provide training and technical assistance throughout the State. In each Arizona County, a single contractor is tasked not only with delivery of these services, but with coordinating the delivery of training within that county. Community-based training is available throughout the state at no cost to child care providers. Training is available in a variety of topics, for varying levels of expertise and for different types of child care providers (e.g., home and center based) and age groups (e.g., infant/toddler, preschool and school age). Trainings are typically offered during weekends or evenings to accommodate the schedules of child care providers. All CCDF funded public training is included in Child Care Resource and Referral newsletters. Some training is delivered on-site to the staff of a specific child care facility and is not open to the public.

Additionally, CCDF Lead Agency certified family child care providers are required to complete 6 hours of training annually. Certified family child care providers can choose from the following training topics to satisfy the ongoing training requirement:

- The Department’s child care program, policies, and procedures;
- Child health and safety, including recognition, control, and prevention of illness and disease;
- Child growth and development;
- Child abuse prevention, detection, and reporting;
- Positive guidance and discipline;
- Child nutrition;
- Communication with families; family involvement;
- Developmentally appropriate practices; and
- Other similar subjects designed to improve the provider’s ability to provide child care.

- ☐ The technical assistance is linked to the State's/Territory's quality rating and improvement system. Describe [The state QIRS system, Quality First, has a Quality First Points Scale that assesses staff qualifications, administrative practices and curriculum and child assessment. As part of the curriculum and child assessment portion, programs must show documentation that the instructional staff, directors and assistant directors have completed professional development on the Introduction to the Infant/Toddler Developmental Guidelines \(ITDG\) and the Introduction to the Arizona Early Learning Standards \(AzELS\). The Infant/Toddler Developmental Guidelines \(ITDG\) and the Arizona Early Learning Standards \(AzELS\) must also be reflected in the written activity or lesson plans. For an increase in points, programs must show documentation that the instructional staff, directors, and assistant directors have completed professional development on at least two of the modules from either the Infant/Toddler Developmental Guidelines \(ITDG\) or the Arizona Early Learning Standards \(AzELS\).](#)
- ☐ Child care providers working with [infants and/or toddlers](#) have access to the technical assistance for implementing early learning and development guidelines. Describe

[Arizona Department of Economic Security, CCDF Lead Agency](#)

[The CCDF Lead Agency's Home Recruitment Study and Supervision \(HRSS\) contractors statewide provide the required 16 hours of pre-service health and safety training and 8 hours of Developmentally Appropriate Practices \(DAP\) training prior to certification of family child care providers.](#)

[The 8 hour Developmentally Appropriate Practices curriculum covers the following topics:](#)

- [Setting up a Childcare Business](#)
- [Creating a Community of Learners](#)
- [Teaching to Enhance Development and Learning](#)
- [How to Be Marketable](#)

[Once a provider is certified and receives an authorization to care for a child funded by CCDF, the provider must complete CPR and First Aid training, and will participate in up to three billing trainings from the Home Recruitment Study and Supervision contractor. Thereafter all certified providers may receive ongoing technical assistance to improve their program or for additional help with billing or paperwork from the Department of Economic Security child care specialist or contracted Home Recruitment Study and Supervision staff.](#)

[First Things First \(State Advisory Council\)](#)

[Child care providers receive technical assistance in a variety of ways. They may receive technical assistance from a coach in the Quality First system. The](#)

programs are assessed using the Infant/Toddler Environment Rating Scale (ITERS) and the Toddler Classroom Assessment Scoring System (CLASS), as appropriate for the ages of children enrolled in the classroom. Results are shared with the director and teachers. Action plans for improvement that may include direct technical assistance are written and implemented.

Arizona Department of Education

If the program is not in Quality First, they may receive technical assistance through the professional development provided by Arizona Department of Education Early Childhood Education and the program specialists that provide the Professional Development and Technical Assistance in the area as needed or requested. The program specialists work with the director of the program to evaluate the needs of the various classrooms and create a plan that may include Professional Development and Technical Assistance. Arizona Department of Education Early Childhood Education has hosted two infant toddler summits and plans to host one again in 2016.

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

Arizona Department of Economic Security, CCDF Lead Agency

The CCDF Lead Agency's Home Recruitment Study and Supervision (HRSS) contractors statewide provide the required 16 hours of pre-service health and safety training and 8 hours of Developmentally Appropriate Practices (DAP) training prior to certification of family child care providers.

The 8 hour Developmentally Appropriate Practices curriculum covers the following topics:

- Setting up a Childcare Business
- Creating a Community of Learners
- Teaching to Enhance Development and Learning
- How to Be Marketable

Once a provider is certified and receives an authorization to care for a child funded by CCDF, the provider must complete CPR and First Aid training, and will participate in up to three billing trainings from the Home Recruitment Study and Supervision contractor. Thereafter all certified providers may receive ongoing technical assistance to improve their program or for additional help with billing or paperwork from the Department of Economic Security child care specialist or contracted Home Recruitment Study and Supervision staff.

First Things First (State Advisory Council)

Childcare providers receive technical assistance in a variety of ways. They may receive technical assistance from a coach in the Quality First system. The programs are assessed using the Early Childhood Environment Rating Scale (ECERS-R) and the Classroom Assessment Scoring System (CLASS) appropriate for the age of the classroom. Results are shared with the director and teachers. Action plans for improvement that may include direct Technical Assistance are written and implemented.

Arizona Department of Education

If the program is not in Quality First, they may receive technical assistance through the professional development provided by Arizona Department of Education Early Childhood Education and the program specialists that provide the include Professional Development and Technical Assistance in the area as needed or requested. The program specialists work with the director of the program to evaluate the needs of the various classrooms and create a plan that may include Professional Development and Technical Assistance. The Arizona Department of Education Early Childhood Education unit also hosted the School Readiness Summit.

The summit was for preschool through 3rd grade instructional staff. Participants attended sessions that demonstrated the continuum from preschool to 3rd grade.

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

Arizona Department of Economic Security, CCDF Lead Agency

The CCDF Lead Agency's Home Recruitment Study and Supervision (HRSS) contractors statewide provide the required 16 hours of pre-service health and safety training and 8 hours of Developmentally Appropriate Practices (DAP) training prior to certification of family child care providers.

The 8 hour Developmentally Appropriate Practices curriculum covers the following topics:

- Setting up a Childcare Business
- Creating a Community of Learners
- Teaching to Enhance Development and Learning
- How to Be Marketable

Once a provider is certified and receives an authorization to care for a child funded by CCDF, the provider must complete CPR and First Aid training, and will participate in up to three billing trainings from the Home Recruitment Study and Supervision contractor. Thereafter all certified providers may receive ongoing

[technical assistance to improve their program or for additional help with billing or paperwork from the Department of Economic Security child care specialist or contracted Home Recruitment Study and Supervision staff.](#)

[Arizona Department of Education](#)

[If the program is not in Quality First, they may receive technical assistance through the professional development provided by Arizona Department of Education Early Childhood Education and the program specialists that provide the Professional Development and Technical Assistance in the area as needed or requested. The program specialists work with the director of the program to evaluate the needs of the various classrooms and create a plan that may include Professional Development and Technical Assistance. The Arizona Department of Education Early Childhood Education unit also hosted the School Readiness Summit.](#)

[The summit was for preschool through 3rd grade instructional staff. Participants attended sessions that demonstrated the continuum from preschool to 3rd grade.](#)

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

☐ CCDF funds. Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

[Quality Set-Aside, Discretionary Targeted Funds; Expansion, Infant & Toddler and School Age/Resource & Referral](#)

☐ Other funds. Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.) [Arizona Department of Education Early Childhood Education provides professional development and technical assistance through funding from First Things First, Early Childhood Special Education, the Preschool Development Grant, and philanthropic groups.](#)

6.3.4 Check here ☒ to demonstrate that State/Territory assures that CCDF funds will not be used to develop or implement an assessment for children that: (658E(c)(2)(T)(ii)(I))

- Will be the primary or sole basis to determine a child care provider ineligible to participate in the CCDF program
- Will be used as the primary or sole basis to provide a reward or sanction for an individual provider
- Will be used as the primary or sole method for assessing effectiveness of child care programs
- Will be used to deny children eligibility to participate in the CCDF program

7 Support Continuous Quality Improvement

Lead Agencies are required to reserve and use a portion of their Child Care and Development Block Grant funds for activities designed to improve the quality of child care services and increase parental options for, and access to, high-quality child care. Support for continuous quality improvement is expected to cover the entire age span of children supported by CCDF, from birth through age 12. States/Territories may provide these quality improvement activities directly, or through grants or contracts with local child care resource and referral organizations or other appropriate entities. The activities should be in alignment with a State/Territory-wide assessment of the State's/Territory's needs to carry out such services and care. These quality investments can align with, support and help sustain additional quality efforts developed under Race to the Top Early Learning Challenge grants, Early Head Start/Head Start partnerships and other funding efforts.

States and Territories will report on these quality improvement investments through CCDF in three ways: 1) ACF will collect annual data on how much CCDF funding is spent on quality activities using the expenditure report (ACF-696); 2) In the Plan, States and Territories will describe the types of activities supported by quality investments over the three-year period; and 3) For each three-year Plan period, States and Territories will submit a separate annual report that will show the measures used by the State/Territory to evaluate its progress in improving the quality of child care programs and services in the State/Territory.

The CCDBG Act of 2014 requires States and Territories to use the quality set-aside to fund at least one of the following 10 activities:

- 1) Supporting the training and professional development of the child care workforce (as described in Section 6)
- 2) Improving on the development or implementation of early learning and development guidelines (as described in Section 6)
- 3) Developing, implementing, or enhancing a tiered quality rating system for child care providers and services
- 4) Improving the supply and quality of child care programs and services for infants and toddlers
- 5) Establishing or expanding a Statewide system of child care resource and referral services (as described Section 1)
- 6) Supporting compliance with State/Territory requirements for licensing, inspection, monitoring, training, and health and safety (as described in Section 5)
- 7) Evaluating the quality of child care programs in the State/Territory, including evaluating how programs positively impact children
- 8) Supporting providers in the voluntary pursuit of accreditation
- 9) Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development

- 10) Other activities to improve the quality of child care services as long as outcome measures relating to improved provider preparedness, child safety, child well-being, or kindergarten-entry are possible.

Throughout this Plan, States and Territories will describe the types of quality improvement activities where CCDF investments are being made, including but not limited to, the quality set-aside funds. We recognize that for some areas, States and Territories may leverage other funds to support the quality improvement goals, which we encourage and support. For example, activities related to early learning and development guidelines may be supported by a combination of CCDF and education funding. States and Territories continue to have such flexibility.

7.1 Activities to Improve the Quality of Child Care Services

- 7.1.1** What are your overarching goals for quality improvement? Please describe how the State/Territory selected these goals, including any data or the State/Territory-wide assessment of needs that identified the needs for quality improvement services

1. [Increase quality of child care in geographic areas of the state that have high concentrations of poverty and unemployment, as related to 4.6.3 of the Plan.](#)
2. [Increase the number of child care providers that become nationally accredited through the Arizona Self Study Project.](#)
3. [Continue to promote and expand provider participation in the The Arizona Early Childhood Workforce Registry \(Registry\).](#)

- 7.1.2** Check and describe which of the following specified quality improvement activities the State/Territory is investing in:

☒ Developing, implementing or enhancing a tiered quality rating system. If checked, respond to 7.2.

[Quality First \(QIRS\) is currently developed and operating with approximately 36.5% of regulated programs enrolled.](#)

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

☐ CCDF funds. Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.) _____

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

[Other funds First Things First – including Tobacco Revenue, and public-private and public-public partnerships.](#)

☐ Improving the supply and quality of child care services for infants and toddlers. If checked, respond to 7.3.

Use of the Infant/Toddler Environment Rating Scale (ITERS), Toddler CLASS in Quality First (QIRS).

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

☒ CCDF funds. Describe CCDF funds (e.g., quality set-aside, including whether designated infant- and toddler set aside, etc.) funds are being used along with other CCDF funds

CCDF Quality Set-Aside funds

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

First Things First – including Tobacco Revenue, and public-private and public-public partnerships.

☒ Establishing or expanding a statewide system of CCR&R services as discussed in 1.7. If checked, respond to 7.4.

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

☒ CCDF funds. Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

Quality Set-Aside, Discretionary Targeted Funds; Expansion, Infant & Toddler and School Age/Resource & Referral

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

☒ Facilitating compliance with State/Territory requirements for inspection, monitoring, training, and health and safety standards (as described in Section 5). If checked, respond to 7.5.

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

☒ CCDF funds. Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

Quality Set-Aside; Discretionary Targeted Funds; Expansion, Infant & Toddler and School-Age/Resource & Referral

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

[Arizona Department of Health Services Bureau of Child Care Licensing is funded through licensing fees paid by centers and group homes that are regulated.](#)

☒ Evaluating and assessing the quality and effectiveness of child care services within the State/Territory. If checked, respond to 7.6.

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

☐ CCDF funds. Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.) _____

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

[Other funds First Things First – including Tobacco Revenue, and public-private and public-public partnerships.](#)

☒ Supporting accreditation. If checked, respond to 7.7.

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

☒ CCDF funds. Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.)

[Quality Set-Aside, Discretionary Targeted Funds; Expansion, Infant and Toddler, and School Age/Resource & Referral](#)

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

☒ Supporting State/Territory or local efforts to develop high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development. If checked, respond to 7.8.

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

☐ CCDF funds. Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.) _____

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

[Other funds; Arizona Department of Education develops Infant/Toddler Developmental Guidelines \(ITDG\).](#)

- ☐ Other activities determined by the State/Territory to improve the quality of child care services, and for which measurement of outcomes related to improved provider preparedness, child safety, child well-being, or entry into kindergarten is possible. If checked, respond to 7.9.
- ☐ Indicate which funds will be used for this activity (check all that apply)
 - ☐ CCDF funds. Describe CCDF funds (e.g., quality set-aside, infant-toddler set aside, etc.) _____
 - ☐ Other funds. Describe other funding sources (e.g., Race to the Top Early Learning Challenge, state or local funds, etc.) _____

7.2 Quality Rating and Improvement System

7.2.1 Does your State/Territory have a quality rating and improvement system (QRIS)?

- ☒ Yes, the State/Territory has a QRIS operating State/Territory-wide. Describe how the QRIS is administered (e.g., state or locally administered such as through CCR&Rs) and provide a link, if available

[Yes, the State/Territory has a QIRS operating State/Territory-wide, Quality First administered through First Things First. Customers can search the statewide QIRS database at www.qualityfirstaz.com/](http://www.qualityfirstaz.com/)

- ☐ Yes, the State/Territory has a QRIS operating as a pilot, in a few localities, or only a few levels but not fully operating State/Territory-wide. Provide a link, if available _____
- ☐ No, but the State/Territory is in the development phase
- ☐ No, the State/Territory has no plans for development

a) If yes, check all that apply to your QRIS.

- ☒ Participation is voluntary
- ☐ Participation is mandatory for providers serving children receiving subsidy. If checked, describe the relationship between QRIS participation and subsidy (minimum rating required, participation at any level, etc.) _____
- ☐ Participation is required for all providers
- ☐ Includes nationally-recognized accreditation as a way to meet/achieve QRIS rating levels
- ☒ Supports and assesses the quality of child care providers in the State/Territory
- ☒ Builds on State/Territory licensing standards and other State/Territory regulatory standards for such providers
- ☐ Embeds licensing into the QRIS. Describe _____

- ☒ Designed to improve the quality of different types of child care providers and services
- ☒ Describes the safety of child care facilities
- ☐ Addresses the business practices of programs
- ☒ Builds the capacity of State/Territory early childhood programs and communities to promote parents' and families' understanding of the State/Territory's early childhood system and the ratings of the programs in which the child is enrolled
- ☒ Provides, to the maximum extent practicable, financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services. If checked, please describe how these financial options link to responses in Section 4.3 related to higher payment rates tied to quality

First Things First (State Advisory Council)

Incentive Funds

Quality First provides financial support to all enrolled centers and homes for the purchase of educational materials, equipment and other resources that help improve the quality of child care programs. Some programs buy more age-appropriate books, toys or materials to help nurture the development of the children they serve. Others purchase new furniture or outdoor equipment to enhance their physical environments. Funding decisions will be made in partnership between providers and Quality First coaches according to quality improvement plan results. Funds are available annually, and the amount is based on the licensed capacity of children birth to 5 that each program serves.

Arizona Department of Health Services Licensing Fees

First Things First also supports Quality First providers whose programs are regulated by the Department of Health Services (DHS) with financial assistance to pay for 50 percent of their licensing fees, which are due every three years.

Department of Economic Security, CCDF Lead Agency

The CCDF Lead Agency maintains information on accredited facilities that receive the enhanced rate for accreditation. First Things First maintains a database of individual programs that includes data on financial assistance, in the form of incentive grants and scholarships, to meet higher standards.

The CCDF Lead Agency's Enhanced Rate for accredited programs started in August 1999. The intent of the Enhanced Rate is two-fold: 1) to make higher quality (accredited) child care slots available to CCDF subsidized children whose parents may not be able to afford this care; and 2) to encourage more providers to become accredited. This allows children whose parents are eligible for child care subsidies

to enroll in programs providing higher quality of care by reimbursing nationally accredited providers 10 percent higher than the Department of Economic Security maximum rates.

☒ Can be used to track trends in whether children receiving subsidy are utilizing rated care settings and level of rating

b) If yes, which types of settings or distinctive approaches to early childhood education and care participate in the State's/Territory's QRIS? Check all that apply.

☒ Licensed child care centers

☒ Licensed family child care homes

☒ License-exempt providers

☒ Early Head Start programs

☒ Head Start programs

☒ State pre-kindergarten or preschool program

☒ Local district supported pre-kindergarten programs

☒ Programs serving infants and toddlers

☒ Programs serving school-age children

☒ Faith-based settings

Other. Describe. _____

7.2.2 Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory.

First Things First launched Quality First to partner with child care and preschool programs around the state to improve the quality of early learning in Arizona. Quality First provides each enrolled program with coaching and funding, and the program's leadership and staff provides the dedication and hard work.

The quality of each program is assessed using valid and reliable tools that focus on what research shows are the key components of quality early care, including adult-child interactions, learning environments and staff qualifications. Based on these assessments, each program is given a Quality First Star Rating, ranging from 1 to 5 stars.

Quality First is about continuous quality improvement. The standards are high, and reaching the quality levels is often a long-term process. Programs achieving Star Ratings in the quality levels (3 stars and above) have met these standards. And all participating programs are committed to quality and are making improvements that help prepare kids for school and life.

Programs are assessed every one or two years, depending on their previous rating, and receive a new Star Rating with each assessment. Star Ratings help guide the improvement process by providing both an objective measure of each program's quality and a goal to achieve.

Quality early learning settings build on basic health and safety to include teachers who know how to work with young children, learning environments that nurture the development of every child, and positive, consistent relationships and interactions that give children the individual attention they need.

Participation in Quality First is voluntary, and all programs enrolled in Quality First have made a commitment to improvements that research shows help young children thrive.

How Star Ratings are Calculated

Quality First Star Ratings are based on assessments of each early care and education program enrolled in Quality First. A highly-trained assessor visits each program to conduct classroom observations and teacher interviews and scores each program using valid and reliable assessment tools. Scores are combined to determine the program's Quality First Star Rating. The standards and scales used are based on research and developed with input from educators and experts. The end result is a valid, objective measure of the quality of an early care and education program.

- Five Stars: Far exceeds quality standards
- Four Stars: Exceeds quality standards
- Three Stars: Meets quality standards
- Two Stars: Approaching quality standards
- One Star: Committed to quality improvement
- No Rating: Program is enrolled in Quality First but does not yet have a public rating

Criteria Include:

- Health and safety practices that promote children's basic well being
- Staff qualifications, including experience working with infants, toddlers and preschoolers as well as training or college coursework in early childhood development and education

- [Teacher-child interactions that are positive, consistent and nurture healthy development and learning](#)
- [Learning environments, including age-appropriate books, toys and learning materials that promote emotional, social, language and cognitive development](#)
- [Lessons that follow state requirements or recommendations for infants, toddlers and preschoolers](#)
- [Group sizes that give young children the individual attention they need](#)
- [Child assessment and parent communication that keeps families regularly informed of their child's development](#)

Assessment Tools

- [Environment Rating Scales \(ERS\) are used to assess components of a program's learning environment, such as arrangement of indoor and outdoor space, materials and activities, and use of language.](#)
- [Classroom Assessment Scoring Systems™ \(CLASS™\) examines the quality of the interaction between teachers and children in three domains: emotional support, classroom organization and instructional support.](#)
- [Quality First Points Scale is a tool designed by First Things First to assess three additional evidence-based components of quality: staff qualifications, administrative practices, and curriculum and child assessment.](#)

7.3 Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers

The CCDBG Act of 2014 included changes targeted at improving the supply and quality of infant-toddler care. Lead Agencies are encouraged to systematically assess and improve the overall quality of care infants and toddlers receive, the systems in place or needed to support and enhance the quality of infant and toddler providers and the capacity of the infant and toddler workforce to meet the unique needs of very young children, and the methods in place to increase the proportion of infants and toddlers in higher quality care.

- 7.3.1** What activities are being implemented by the State/Territory to improve the supply (see also section 4) and quality of child care programs and services for infants and toddlers? Check all that apply and describe.

- ☒ Establishing or expanding high-quality community or neighborhood-based family and child development centers, which may serve as resources to child care providers in order to improve the quality of early childhood services provided to infants and toddlers from low-income families and to help eligible child care providers improve their capacity to offer high-quality, age-appropriate care to infants and toddlers from low-income families. Describe

First Things First (State Advisory Council)

[First Things First provides training and professional development to promote and expand child care providers' ability to provide developmentally appropriate services for](#)

[infants and toddlers. Through Quality First coaches provide the introduction to the Infant Toddler Developmental Guidelines, and provide written Infant/Toddler Environment Rating Scale \(ITERS\) and Toddler Classroom Assessment Scoring Systems™ \(CLASS™\) reports.](#)

[Arizona Department of Education](#)

[The Arizona Department of Education – Early Childhood Education \(ADE-ECE\) provides in-depth professional development on each of the domains of the Infant Toddler Developmental Guidelines. Each module is 4 hours in length and covers these domains: Social Emotional, Approaches to Learning, Language Development and Communication, Cognitive Development, and Physical and Motor Development.](#)

[Arizona Department of Economic Security, CCDF Lead Agency](#)

[Home Recruitment, Study and Supervision contractors must recruit sufficient numbers of child care providers to meet the identified specialized needs of the geographic area. The special emphasis is placed on recruiting homes to provide care for infants.](#)

☐ Establishing or expanding the operation of community or neighborhood-based family child care networks. Describe _____

☒ Providing training and professional development to promote and expand child care providers' ability to provide developmentally appropriate services for infants and toddlers. Describe _____

[First Things First \(State Advisory Council\)](#)

[First Things First Quality First coaches provide the introduction to the Infant Toddler Developmental Guidelines, and provide written Infant/Toddler Environment Rating Scale \(ITERS\) and Toddler Classroom Assessment Scoring Systems™ \(CLASS™\) reports.](#)

[Arizona Department of Education](#)

[The Arizona Department of Education – Early Childhood Education \(ADE-ECE\) provides in-depth professional development on each of the domains of the Infant Toddler Developmental Guidelines. Each module is 4 hours in length and covers these domains: Social Emotional, Approaches to Learning, Language Development and Communication, Cognitive Development, and Physical and Motor Development.](#)

[Arizona Department of Economic Security, CCDF Lead Agency](#)

[Arizona Department of Economic Security offers contracts for training and providing technical assistance that are targeted specific to child care providers who care for infants and toddlers. The goal is to enhance and/or support the provision of child care services to children from birth to age three; to provide increased and/or enhanced](#)

training opportunities to center and home based child care providers; to increase opportunities for on-site training; and to evaluate services provided.

☒ Providing financial incentives (including the use of grants and contracts as discussed in section 4) to increase the supply and quality of infant-toddler care. Describe

Arizona Department of Economic Security, CCDF Lead Agency

The CCDF Lead Agency funds the Arizona Self Study Project, which supports child care facilities wishing to pursue accreditation. The Arizona Self Study Project provides on-site coaching assistance and monthly telephone support as well as training, self-study materials and networking opportunities. The financial assistance in the form of mini-grants is also available to providers who have actively participated in the Arizona Self Study Project and have demonstrated positive efforts towards the implementation of quality improvement plans.

The CCDF Lead Agency maintains information on accredited facilities that receive the enhanced rate for accreditation. First Things First maintains a database of individual programs that includes data on financial assistance, in the form of incentive grants and scholarships, to meet higher standards.

First Things First (State Advisory Council)

Program Improvement grants are available through the Quality First program. Grants are awarded to enrolled providers based upon needs identified in a Quality Improvement Plan. These grants may be used to cover costs associated with improving quality; this includes training and education expenses. Quality First Program Improvement grants may be used for training and education activities. For more information, see:

www.azftf.gov/WhatWeDo/Programs/QualityFirst/Pages/FinancialIncentivesPlan.aspx

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

First Things First (State Advisory Council)

First Things First provides training and professional development to promote and expand child care providers' ability to provide developmentally appropriate services for infants and toddlers. Through Quality First coaches provide the introduction to the Infant Toddler Developmental Guidelines, and provide written written Infant/Toddler Environment Rating Scale (ITERS) and Toddler Classroom Assessment Scoring Systems™ (CLASS™) reports.

Arizona Department of Education

[The Arizona Department of Education – Early Childhood Education \(ADE-ECE\) provides in-depth professional development on each of the domains of the Infant Toddler Developmental Guidelines. Each module is 4 hours in length and covers these domains: Social Emotional, Approaches to Learning, Language Development and Communication, Cognitive Development, and Physical and Motor Development.](#)

[Arizona Department of Economic Security, CCDF Lead Agency](#)

[Infant/Toddler Training as mentioned in section 6.2.1\(a\) offers comprehensive training that provides a specific focus on infant/toddler education. The follow-up technical assistance is available to child care providers that attend training to implement concepts learned in training.](#)

☒ Coordinating with early intervention specialists who provide services for infants and toddlers with disabilities under part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.) Describe

[The Department of Economic Security \(Department\), Child Care Administration \(CCDF Lead Agency\) and the Department’s Arizona Early Intervention Program \(AzEIP\) work collaboratively to ensure that families of young children are aware of the variety of supports and resources for which they may be eligible within the Department of Economic Security. The work of the Department Early Childhood Taskforce, and continuing work to ensure cross-divisional collaboration, enables Department employees to assist clients to identify the variety of supports and services that may be leveraged to support them.](#)

[Using a resource-based capacity building approach, CCDF Lead Agency eligibility workers and contract administrators will support child care providers and families to initiate a conversation at the point of enrollment to identify any potential developmental delays or supports needed to ensure a child’s successful enrollment in a childcare program. CCDF Lead Agency contract administrators will assist child care programs to assess what resources may be needed in the event that they identify concerns with a child’s healthy development or if they need additional support to adjust their environment or teaching style to address a child’s developmental needs. CCDF Lead Agency eligibility workers will assist families to identify, access, and plan for how they would like to utilize available resources to support their child to be successful when enrolled in child care programs. By creating a climate that encourages everyone to be aware of potential developmental concerns, assessing development on an ongoing basis, and discussing potential resources we will ensure that families and childcare programs are collaboratively leveraging existing resources with the expertise](#)

to support children, families and childcare professionals to have successful interactions.

This resource-based capacity building approach will be utilized by eligibility workers to actively engage families in a process to identify potential resources and supports and to assist families to determine how and when they would like to proceed. This is an opportunity to utilize reflective questioning or coaching. Research shows that outcomes are greater when the individual is supported to develop and commit to a meaningful goal, locate, and finally, use resources to meet that goal, rather than depending upon a third party to determine and set the parameters of the goal for them. Our shared focus should be on empowering individuals and families to achieve their goals not just in the present, but in the future through the use of participatory help-giving practices.

Likewise, the Department's Arizona Early Intervention Program utilizes a similar resource-based capacity building approach to assist families birth through age 2 with developmental delays or disabilities to develop a plan which may include accessing the supports and services available through the Department. One such resource is the Child Care Administration. Arizona Early Intervention Program teams not only assist families to access Child Care Assistance, but once enrolled the Arizona Early Intervention Program team can also support the child care program to address the developmental needs of the child. Arizona Early Intervention Program teams can assist child care programs to address the needs of children enrolled in both programs.

The Department's Arizona Early Intervention Program utilizes a Team Based Early Intervention Services approach to the provision of early intervention services. The team, which includes an occupational therapist, speech language pathologist, developmental special instructionist and a physical therapist, determines with the family, who will serve as the team lead or primary provider. The team lead is then supported by other team members to address the child's holistic development within their everyday routines and activities. For children enrolled in childcare, the team, with parental consent, can support the childcare provider to identify modifications to their classroom routines or make adaptations to their environment to support young children with disabilities to engage and participate in these everyday routines and activities. Using a capacity building approach, this not only assists the child care professionals to support the identified child, but can also assist the child care professionals to improve their capacity to care for all children in their classroom.

The Department's Arizona Early Intervention Program State Systemic Improvement Plan (SSIP) is to improve the percentage of children birth to three who exit early intervention with improved social emotional growth. To achieve this outcome, the

Arizona Early Intervention Program is collaborating with the divisions within the Department (including the Child Care Administration), as well as the Department of Education, Department of Health Services, and the state's Medicaid (Arizona Health Care Cost Containment –AHCCCS) program to develop a cross-agency professional development framework that supports practitioners to improve the social emotional development of infants, toddlers and preschoolers through:

- Use of appropriate screenings;
- Determining appropriate next steps after a screening;
- Providing anticipatory guidance to primary caregivers (utilizing responsive caregiving, resource-based capacity building, coaching, mentoring);
- Evaluating (including identification of improved evaluation instruments to address this developmental domain);
- Use of Evidence-Based Practices to address delays in this domain;
- Developing plans to support primary caregivers within the home, community, childcare/early head start programs), and;
- Documenting individual progress overall.

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

Arizona Department of Education

Infant/Toddler Developmental Guidelines developed by the Arizona Department of Education (ADE) and are infused into First Things First Quality First and Professional Development Strategies.

First Things First (State Advisory Council)

The state QIRS system, Quality First, has a "Quality First Points Scale" that assesses staff qualifications, administrative practices and curriculum and child assessment. As part of the curriculum and child assessment portion, programs must show documentation that the instructional staff, directors and assistant directors have completed professional development on the Introduction to the Infant/Toddler Developmental Guidelines (ITDG) and the Introduction to the Arizona Early Learning Standards (AzELS). The Infant/Toddler Developmental Guidelines (ITDG) and Arizona Early Learning Standards (AzELS) must also be reflected in the written activity or lesson plans.

For an increase in points, programs must show documentation that the instructional staff, directors and assistant directors have completed professional development on at

least two of the modules from either the Infant/Toddler Developmental Guidelines (ITDG) or the Arizona Early Learning Standards (AzELS).

Child care providers receive technical assistance in a variety of ways. They may receive technical assistance from a coach in the Quality First system. The programs are assessed using the Infant/Toddler Environment Rating Scale (ITERS) and the Classroom Assessment Scoring Systems™ (CLASS™) appropriate for the age of the classroom. Results are shared with the director and teachers. Action plans for improvement that may include direct Technical Assistance (TA) are written and implemented. If the program is not in Quality First, they may receive technical assistance through the professional development provided by ADE-ECE and the program specialists that provide the Professional Development and Technical Assistance in the area as needed or requested. The program specialists work with the director of the program to evaluate the needs of the various classrooms and create a plan that may include Technical Assistance and Professional Development. Arizona Department of Education – Early Childhood Education (ADE-ECE) also held an Infant/Toddler Summit.

- ☐ Developing infant and toddler components within the State/Territory’s child care licensing regulations. Describe _____
- ☒ Developing infant and toddler components within the early learning and development guidelines. Describe _____

Arizona Department of Education

The Arizona Department of Education – Early Childhood Education (ADE-ECE) unit has created 4-6 hour modules for each of Arizona’s Infant and Toddler Development Guidelines and for each of the Arizona Early Learning Standards, 3rd Edition. Professional development opportunities are provided throughout the state by a team of program specialists that work with programs in the communities including school districts, Head Starts, private providers, faith-based providers, home providers and home visitors. The Arizona Department of Education – Early Childhood Education (ADE-ECE) is also working with Institutes of Higher Education to make sure that the standards and guidelines are a part of the course work in community college and university classes.

First Things First (State Advisory Council)

The state QIRS system, Quality First, has a “Quality First Points Scale” that assesses staff qualifications, administrative practices and curriculum and child assessment. As part of the curriculum and child assessment portion, programs must show documentation that the instructional staff, directors and assistant directors have

completed professional development on the Introduction to the Infant/Toddler Developmental Guidelines (ITDG) and the Introduction to the Arizona Early Learning Standards (AzELS). The Infant/Toddler Developmental Guidelines (ITDG) and Arizona Early Learning Standards (AzELS) must also be reflected in the written activity or lesson plans.

For an increase in points, programs must show documentation that the instructional staff, directors and assistant directors have completed professional development on at least two of the modules from either the Infant/Toddler Developmental Guidelines (ITDG) or the Arizona Early Learning Standards (AzELS).

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

First Things First (State Advisory Council)

Parents can access the First Things First Quality First website, regarding the characteristics of quality care.

Arizona Department of Economic Security, CCDF Lead Agency
Child Care Resource and Referral

Consumer education specifically in the area of recognizing the characteristics of high quality child care is one of the vital services that Arizona Child Care Resource & Referral (CCR&R) delivers. The CCR&R presents parents/guardians a choice of available child care providers assisting them with any questions they may have regarding different types of providers. The CCR&R is also responsible for conducting outreach activities to inform the community of the CCR&R services. The information is available in person, via telephones, online, and via media including TV, radio, and social network. The official website has been developed and is available for families looking for information about high quality infant and toddler care at www.azchildcare.org.

- ☒ Carrying out other activities determined by the State/Territory to improve the quality of infant and toddler care provided in the State/Territory, and for which there is evidence that the activities will lead to improved infant and toddler health and safety, infant and toddler cognitive and physical development, or infant and toddler well-being. Describe _____

- ☒ Other. Describe _____

7.3.2 Describe the measures relevant to this activity that the State/Territory will use to evaluate the State's progress in improving the quality of child care programs and services in the State/Territory

First Things First (State Advisory Council)

First Things First maintains a database of individual program quality levels on a five star scale and tracks quality level changes.

Program quality is measured via the Early Childhood Rating Scale (ECERS-R), Infant/Toddler Environment Rating Scale (ITERS-R), Family Child Care Rating Scale (FCCERS), and Classroom Assessment Scoring Systems™ (CLASS™), which are valid and reliable assessment tools for early childhood programs in areas of health and safety, environment, curriculum, family involvement, routines and schedules, and teacher-child interactions.

The Quality First Points Scale is a locally designed assessment tool that includes staff qualifications, administration practices, child assessment and curriculum.

Additionally, First Things First is conducting a multi-year validation study of the Quality First system that began in 2015. The first phase of the study will review the Quality First program design and data system and validate the Quality First rating scale to assess whether the five quality tiers represent different levels of quality. Subsequent years will evaluate the fidelity of implementation of the QIRS components and how child outcomes vary according to the Quality First star levels.

Arizona Department of Economic Security, CCDF Lead Agency

Arizona Self-Study Project (ASSP) as described in section 6.2.1(a), provides technical assistance and assesses child care providers' progress in improving the quality of child care programs utilizing a national accreditation tool. The contractors assist each program in evaluating its strengths and weaknesses through on-site visits at least quarterly and via telephone/online contact on the regular basis. A pre "quality evaluation" at initial enrollment in the Arizona Self-Study Project is conducted, and the evaluation is repeated annually thereafter to monitor the progress. A post evaluation is conducted as well.

7.4 Child Care Resource & Referral

7.4.1 Describe the status of the child care resource and referral system (as discussed in Section 1.7)

- ☒ State/Territory has a CCR&R system operating State/Territory-wide. Describe how the CCR&R system is operated, including how many agencies and if there is a statewide network and how the system is coordinated and if it is voluntary

Arizona Department of Economic Security, CCDF Lead Agency

The CCDF Lead Agency funds the statewide Child Care Resource and Referral (CCR&R) system. The CCR&R disseminates information to enable parents to identify the most important quality indicators of child care programs, tracks the accreditation status of providers, and also has developed a checklist for parents to use to assess child care programs according to quality indicators.

The most recent contract to operate CCR&R was awarded in 2015 to a non-profit organization Child & Family Resources, Inc. The Arizona CCR&R system:

- Provides information on child care options to families from all socioeconomic groups;
- Develops and maintains child care resources and matches those resources to individual family needs;
- Coordinates and/or provides training and technical assistance to child care providers;
- Coordinates and publishes child care provider educational opportunities;
- Delivers consumer education to the general public regarding characteristics of high quality child care; and
- Collects, analyzes and disseminates information on child care supply and demand to state agencies, community partners and potential providers.

All information and resources are available in person, via telephone, online, and via network. The CCR&R website is azchildcare.org/countylist.html. The CCR&R website also links to the First Things First website and directs parents to the Quality First web page.

The CCR&R performance is measured as follows:

- During the term of the contract, the CCR&R website shall be operational and available to the public at least 99.8% of the time in any given calendar month. This is reported to the CCDF Lead Agency on a monthly basis by the contractor;
- The contractor sends monthly report and training summary to the CCDF Lead Agency for monitoring purposes;
- Individual training is evaluated by attendees of the training and a summary of the evaluation is submitted to the CCDF Lead Agency for quality measure;
- Technical assistance to the contractor is given via phone or in person as needed; and
- On-site contract compliance review visits are conducted at least once a year.

☐ State/Territory has a CCR&R system operating in a few localities but not fully operating State/Territory-wide. Describe _____

☐ State/Territory is in the development phase

7.4.2 Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

Child Care Resource and Referral (CCR&R) collects statewide data on the supply and demand of licensed or certified child care. The CCR&R can provide statistical information about child

care in Arizona for organizations that are developing strategies or initiatives to improve the quality of child care in Arizona.

7.5 Facilitating Compliance with State Standards

- 7.5.1** What strategies does your State/Territory fund with CCDF quality funds to facilitate child care providers' compliance with State/Territory requirements for inspection, monitoring, training, and health and safety, and with State/Territory licensing standards? Describe

Arizona State Licensed Child Care Centers and Certified Child Care Group Homes:
Arizona Department of Health Services (DHS) licenses or certifies the types of child care providers mentioned above for the state health and safety standards, 9 A.A.C. 3 Department of Health Services Child Care Group Homes and 9 A.A.C. 5 Department of Health Services Child Care Facilities. Surveyors inspect child care centers at least once a year and child care group homes at least twice a year for their compliance.

The Arizona Department of Economic Security, CCDF Lead Agency, monitors the distribution of reimbursement to those child care centers and group homes that contract with the CCDF Lead Agency to provide child care for CCDF eligible children. The CCDF Lead Agency provides training for billing procedures and provides technical assistance as needed. The payments are monitored to make sure that all required standards are met prior to payments.

Arizona State Certified Family Child Care Home and In-Home Providers:
The Department of Economic Security, CCDF Lead Agency Certified Family Child Care Home and In-Home Providers must abide by the state requirements for inspection, monitoring, training, and health and safety, 6 A.A.C. 5, Article 52 Certification and Supervision of Family Child Care Home Providers. Certification Specialists inspect CCDF Lead Agency certified family child care home providers at least twice a year: one announced and one unannounced. They also provide training and technical assistance on the regular basis. In some Counties, the Certification Specialists' responsibilities are contracted out with CCDF quality set-aside funding.

Training and Technical Assistance

The Department of Economic Security, CCDF Lead Agency contracts with a number of entities to provide training and technical assistance throughout the state. In each Arizona County, a single contractor is tasked not only with delivery of these services, but with coordinating the delivery of training in a coordinated manner within that county. Coordination is required with regard to:

- A. Age groups served (i.e. infants, toddlers, preschool, school age, mixed age groups, other);

1. Level of expertise of attendees (i.e. beginner, intermediate, and expert) and scheduling to enable cohorts of child care providers to attend related and/or sequential trainings;
2. Need for the training topic as determined by the
 - a. Availability of similar topics currently being provided;
 - b. Location of similar trainings already offered, and;
 - c. Current level of provider participation in these trainings.
3. Geographic location, and;
4. Other child care training funded by the CCDF Lead Agency or any other source.

The coordinating contractors are thus contractually required to assess continually the availability of trainings. In addition, the CCDF Lead Agency awards training and technical assistance contracts within Arizona counties at a level roughly proportional to the estimated number of providers in each county.

- 7.5.2** Describe the measures relevant to this activity that the State will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

The Arizona Early Childhood Workforce Registry (Registry) will ensure that professional development is aligned with the Workforce Knowledge and Competencies and are taught by an instructor or Technical Assistance (TA) provider that meets the state requirements and standards.

Arizona Certified Family Child Care Home and In-Home Providers:

According to the 6 A.A.C. 5, Article 52 Certification and Supervision of Family Child Care Home Providers, all Department of Economic Security (Department) certified family child care providers are monitored at least twice a year through on-site visits. They are also required to submit the sign in/out sheets for all children in care to the Department by the fifth day following the end of each month for monitoring purposes. The Certification Specialists use a tool called Article 52 Compliance Review, which is a seven-page document consisting of compliance items that are checked during each compliance visit. If a child care provider is found to be in non-compliance, the provider is generally given ten days to rectify the non-compliance issue(s). If the provider is still in non-compliance after ten days, the provider is placed on probation. The Article 52 has a specific section that describes the adverse actions. Technical assistance is always available to certified family child care home and in-home providers through Department staff as well as through Department contractors. Qualified mentors are also available to assist family child care providers in improving the quality of child care programs and services in the State.

7.6 Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services

- 7.6.1** One of the purposes of the CCDBG Act of 2014 is to increase the number and percentage of low-income children in high-quality child care settings. Describe how the State/Territory measures the quality and effectiveness of child care programs and services offered in the State/Territory, including any tools used to measure child, family, teacher, classroom, or provider improvements, and how the State/Territory evaluates that such programs positively impact children

First Things First (State Advisory Council)

Quality First participants are assessed by First Things First using the:

- Environment Rating Scales: Early Childhood Rating Scale (ECERS-R), Infant/Toddler Environment Rating Scale (ITERS-R)
- Classroom Assessment Scoring System (CLASS) (Pre-K, Toddler, Infant will be used in the near future)
- Quality First Points Scale (staff qualifications, ratios & group sizes, staff retention, curriculum, child assessment)

The Arizona Department of Education (ADE), Virginia G. Piper Charitable Trust and First Things First are continuing to coordinate on development of a Kindergarten Developmental Inventory (KDI). The Kindergarten Developmental Inventory is a voluntary observational assessment to help inform a teacher and family about a child's learning. The Kindergarten Developmental Inventory will be used in classrooms within 45-60 days after the start of kindergarten. It is intended to assess a child's "best fit" on a developmental scale ranging from preschool to grades beyond kindergarten using 12-15 indicators that represent all developmental domains. In addition to the other assessment tools, staff qualifications, administrative practices and child assessment/curriculum are measured in determining the quality rating for Quality First participants. The frequency of assessment is, at a minimum, every other year.

Arizona Department of Economic Security, CCDF Lead Agency

As stated in the section 7.5.2, Department of Economic Security (Department) certified family child care providers are monitored on the regular basis and held accountable for not meeting state regulations. Certification Specialists throughout the state use the same compliance review form to check on regulated items in the following areas: home environment; health and safety; supervision; program and equipment; sanitation; discipline; transportation; meals and nutrition; medication; provider/child ratios; training requirements; and other related areas. Technical assistance and training is always available to certified family child care home and in-home providers through the Department as well as through Department contractors. Qualified mentors are also available to assist family child care providers in improving the quality of child care programs and services in the State.

After each compliance review, a provider who has non-compliance issues is given an action plan with due dates in an effort to improve the quality of care.

Additionally, the Department pays an Enhanced Rate for accredited programs. The intent of the Enhanced Rate is two-fold: 1) to make higher quality (accredited) child care slots available to CCDF subsidized children whose parents may not be able to afford this care; and 2) to encourage more providers to become accredited. This allows children whose parents are eligible for child care subsidies to enroll in programs providing higher quality of care by reimbursing nationally accredited providers 10 percent higher than the Department of Economic Security maximum rates.

- 7.6.2** Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

First Things First (State Advisory Council)

Child care providers receive technical assistance in a variety of ways. They may receive technical assistance from a coach in the Quality First system through First Things First. The programs are assessed using the Early Childhood Environment Rating Scale (ECERS-R) and the Classroom Assessment Scoring System (CLASS) appropriate for the age of the classroom. Results are shared with the director and teachers. Action plans for improvement that may include direct Technical Assistance (TA) are written and implemented.

Arizona Department of Education

If the program is not in Quality First, they may receive technical assistance through the professional development provided by Arizona Department of Education-Early Childhood Education (ADE-ECE) unit and the program specialists that provide the Professional Development and Technical Assistance in the area as needed or requested. The program specialists work with the director of the program to evaluate the ongoing needs of the various classrooms and create a plan that may include Professional Development and Technical Assistance.

7.7 Accreditation Support

- 7.7.1** Does the State/Territory support child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high quality?

☒ Yes, the State/Territory has supports operating State/Territory-wide. Describe the supports for all types of accreditation the State/Territory provides to child care centers and family child care homes to achieve accreditation

The Department of Economic Security, CCDF Lead Agency funds the Arizona Self Study Project, which supports child care facilities wishing to pursue accreditation. Arizona Self

Study Project provides on-site coaching assistance and monthly telephone support as well as training, self-study materials and networking opportunities.

The Department of Economic Security Enhanced Rate for Accredited Programs started in August 1999. The intent of the Enhanced Rate is two-fold: 1) to make higher quality (accredited) child care slots available to CCDF subsidized children whose parents may not be able to afford this care; and 2) to encourage more providers to become accredited. This allows children whose parents are eligible for child care subsidies to enroll in programs providing higher quality of care by reimbursing nationally accredited providers 10 percent higher than the Department of Economic Security maximum rates.

All types of regulated child care programs are included in the tiered reimbursement system (Child Care Centers, Family Child Care Homes, and School-Aged Child Care Programs). The Department of Economic Security adopted the State Board of Education's approved list of center-based accreditation bodies used for the Arizona Department of Education, At-Risk Preschool programs. These include:

ACSI - Association for Christian Schools International

AMI - American Montessori International

AMS - American Montessori Society

NAC - National Accreditation Commission for Early Care & Education Programs

NAEYC - National Association for the Education of Young Children, Academy for Early Childhood Program Accreditation

NECPA - National Early Childhood Program Accreditation

The Department of Economic Security, CCDF Lead Agency, in consultation with the Child Care Advisory Committee, adopted additional standards that are more specific to home based programs and school age. They include the following:

NAFCC - National Association for Family Child Care

CDA - National Child Development Associate Credential with a specialization in home providers

COAA - Council on Accreditation Afterschool [formerly National After School Association]

- ☐ Yes, the State/Territory has supports operating as a pilot or in a few localities but not State/Territory-wide. Describe _____
- ☐ No, but the State/Territory is in the development phase
- ☐ No, the State/Territory has no plans for development

- 7.7.2** Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

The Department of Economic Security, CCDF Lead Agency maintains information on accredited facilities that receive the enhanced rate for accreditation. First Things First maintains a database of individual programs that includes data on financial assistance, in the form of incentive grants and scholarships, to meet higher standards.

Quality First, the states QIRS, evaluates the quality of early care and education programs through the use of the Environment Rating Scales, Classroom Assessment Scoring System, and Quality First Points Scale (administrative practices) on an annual or bi-annual basis (depending on the level of quality).

First Things First is conducting a multi-year validation study of the Quality First system that began in 2015. The first phase of the study will review the Quality First program design and data system and validate the Quality First rating scale to assess whether the five quality tiers represent different levels of quality. Subsequent years will evaluate the fidelity of implementation of the QIRS components and how child outcomes vary according to the Quality First star levels.

7.8 Program Standards

- 7.8.1** What other State/Territory or local efforts, if any, is the State/Territory supporting to develop or adopt high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development? Please describe

Arizona Department of Education

Arizona Department of Education (ADE) state standards for birth – 5 include:

- Program Guidelines for High Quality Early Education: Birth through Kindergarten
- Arizona Early Learning Standards (AELS)
- Infant Toddler Developmental Guidelines (ITDG)
- School-Age standards have been developed by the Arizona Center for Afterschool Excellence (October 2013)

School districts and child care providers serving children ages 3-5 through funding from First Things First, Title I and the Individuals with Disabilities Education Act (IDEA) are required to use Teaching Strategies GOLD, a web-based assessment instrument, to monitor the progress of child development throughout their participation in these programs. Teaching Strategies GOLD is currently aligned to the Arizona Early Learning Standards (2005).

GOLD provides teachers with aggregate quantitative and individual qualitative data that can be accessed and applied to instruction on a daily and weekly basis. All technical assistance, professional development and publications from the Arizona Department of Education Early Childhood Education unit encourage the use of this data along with specific guidance on how to do so.

Arizona Department of Health Services

The Arizona Department of Health Services licensed facilities participating in the Empower Program pledge to adopt 10 standards that support healthy eating, encourage active play, prevent exposure to second- and third-hand smoke, practice sun safety and promote good oral health habits in exchange for reduced licensing fees. Benefits of participating in Empower include reduced licensing fees, a state-issued Empower facility designation, an Empower Pack of ready-to-use resources, and an Empower Guidebook.

- Standard 1: Physical Activity and Screen Time
- Standard 2: Sun Safety
- Standard 3: Breastfeeding
- Standard 4: Child and Adult Care Food Program (CACFP)
- Standard 5: Fruit Juice
- Standard 6: Family-Style Meals
- Standard 7: Oral Health
- Standard 8: Staff Training
- Standard 9: Arizona Smokers' Helpline (ASHLine)
- Standard 10: Smoke-Free Campus

Additional information regarding the DHS Empower Program can be found at <http://www.azdhs.com/prevention/nutrition-physical-activity/empower/index.php#resources-policies-home>

- 7.8.2** Describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory's progress in improving the quality of child care programs and services in the State/Territory

Arizona Department of Education

School districts and child care providers serving children ages 3-5 through funding from First Things First, Title I and the Individuals with Disabilities Education Act (IDEA) are required to use Teaching Strategies GOLD, a web-based assessment instrument, to monitor the progress of child development throughout their participation in these programs. Teaching Strategies GOLD is currently aligned to the Arizona Early Learning Standards (2005).

[Teaching Strategies GOLD, the state-approved assessment instrument for children ages 3-5, provides local and state level access to an alignment report, reflecting children’s attainment of the Arizona early learning standards.](#)

7.9 Other Quality Improvement Activities

- 7.9.1** List and describe any other activities the State/Territory provides to improve the quality of child care services and describe the measures relevant to this activity that the State/Territory will use to evaluate the State/Territory’s progress in improving provider preparedness, child safety, child well-being, or entry into kindergarten.

[The Center for Afterschool Excellence has developed:](#)

- [School-age standards and](#)
- [Self-assessment in meeting those standards](#)

8 Ensure Grantee Program Integrity and Accountability

Under CCDF, program integrity and accountability activities are grounded in the State/Territory’s policies for implementing the CCDF program. For error rate activities, reviews are based on the State/Territory’s own CCDF policies. The CCDBG Act of 2014 made sweeping changes to the program requirements. With these changes, the State/Territory has an opportunity to change their own policies to reduce the burden for participants and staff as they build in safeguards to maintain program integrity. For example, the new law focuses on eligibility requirements at the time of eligibility determination and allows for a minimum 12-month period of eligibility before redetermination, which lessens the need for participants to continually provide documentation. This, in turn, relieves the State/Territory from the burden of constantly “checking” on participants which can open the door for miscalculations, lost paperwork, and other errors.

Lead Agencies are required to have accountability measures in place to ensure integrity and to identify fraud or other program violations. These accountability measures should address administrative error, including unintentional agency error, as well as program violations, both unintentional and intentional. Violations may or may not result in further action by the Lead Agency, including those cases suspected of and/or prosecuted for fraud.

8.1 Program Integrity

8.1.1 Describe how the State/Territory ensures that their definitions for violations have been modified, and program integrity procedures revised to reflect new requirements. [The Department of Economic Security is proposing changes to our Administrative Rules to add an Intentional Program Violation \(IPV\) component for clients, including definition of what constitutes an IPV and progressive sanction penalties. Additionally, the CCDF Lead Agency has reworted and added provisions to provider contracts to prevent entering into contract with providers previously terminated for fraud or with those closely affiliated with providers that were previously terminated for fraud.](#)

8.1.2 Describe how the State/Territory ensures that all staff are informed and trained regarding changes made to its policies and procedures to reflect new CCDF requirements. Check all that apply.

☒ Issue policy change notices

☒ Issue new policy manual

☒ Staff training

☒ Orientations

☒ Onsite training

☒ Online training

☒ Regular check-ins to monitor implementation of the new policies. Describe [Monthly case reviews and second level reviews are conducted by the Supervisor and the Review and Reconciliation \(Quality Assurance\) Unit. Random reviews of provider files are conducted by senior contracting staff to ensure that procedures are appropriately followed.](#)

☐ Other. Describe _____

- 8.1.3** Describe the processes the Lead Agency will use to monitor all sub-recipients, including those described in Section 1, such as licensing agencies, child care resource and referral agencies, and others with a role in administering CCDF. The Lead Agency is responsible for ensuring effective internal controls over the administration of CCDF funds. Lead Agencies that use other governmental or non-governmental sub-recipients to administer the program must have written agreements in place outlining roles and responsibilities for meeting CCDF requirements. Entities that act as sub-recipients may be governmental, community-based organizations, and non-profit or private, for profit, entities. In order to ensure that the most appropriate, effective, and efficient services are provided, DES may issue a Request for Proposals (RFP) and award contracts on a competitive basis and/or enter into Inter-Governmental-Agreements or Interagency Service Agreements to have activities provided.

Contracting organizations certify in writing to adhere to guidelines developed by the Arizona Department of Economic Security in the delivery and administration of each service. The contracts include specific performance measures and, where appropriate, payment for services is based on the delivery of discrete units of service.

Each contract details specific expectations for service delivery and reporting requirements. Contractors report monthly to individual contract administrators who monitor contract compliance, review services delivered and approve payment on invoices. At a minimum, contract administrators perform an on-site contract compliance review annually.

Sub-recipient services that are awarded through a competitive bidding process are awarded via Arizona's automated e-Procurement system, ProcureAZ. Competitively awarded contracts are typically renewed on an annual basis and competitively re-solicited at least every five years. Sub-recipient services are subject to the Single Audit Act per OMB Circular A-133.

Definition: "Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency (2 CFR 200.93). Two CFR Part 200, Subpart A provides additional information on contractors (which may be referred to as "vendors"). The description of monitoring must include, but is not limited to, a description of the written agreements used, a schedule for completing the tasks, a budget which itemizes categorical expenditures consistent with CCDF requirements and indicators or measures to assess performance. Additional items for discussion may include: fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, and monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified."

- 8.1.4** Describe the activities the Lead Agency has in place to identify program violations and administrative error to ensure program integrity using the series of questions below. Program

violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to areas identified through the Error Rate Review process. Lead Agencies are required to have processes in place to identify fraud or other program violations.

- a) Check which activities the Lead Agency has chosen to conduct to identify unintentional or intentional program violations.

☒ Share/match data from other programs (e.g., TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))

☒ Run system reports that flag errors (include types). Describe [The CCDF Lead Agency runs system reports that flag certain providers whose payments exceed anticipated billings. Further review of billing practices is initiated based on reports.](#)

☒ Review of enrollment documents, attendance or billing records

☒ Conduct supervisory staff reviews or quality assurance reviews

☒ Audit provider records

☒ Train staff on policy and/or audits

☒ Other. [Describe Investigators embedded within the CCDF Lead Agency conduct provider and client investigations.](#)

☒ None. Describe what measures the Lead Agency plans to put in place to address program integrity along with action steps and completion timelines _____

- b) Check which activities the Lead Agency has chosen to conduct to identify administrative error.

☒ Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))

☒ Run system reports that flag errors (include types). Describe [The CCDF Lead Agency utilizes reconciliation reports to identify/resolve case processing discrepancies. Reports of this nature assist management in identifying potential errors made by field staff during the eligibility determination or service authorization processes. Identified errors are either corrected on a case-by-case basis in the field, or statewide policy clarifications are issued for broader impact regarding error prevention or resolution.](#)

☒ Review of enrollment documents, attendance or billing records

☒ Conduct supervisory staff reviews or quality assurance reviews

☒ Audit provider records

- ☒ Train staff on policy and/or audits
- ☐ Other. Describe _____
- ☐ None. Describe what measures the Lead Agency plans to put in place to address program integrity along with action steps and completion timelines _____

8.1.5 Which activities (or describe under “Other”) the Lead Agency will use to investigate and collect improper payments due to program violations or administrative error as defined in your State/Territory? The Lead Agency has the flexibility to recover misspent funds as a result of errors. The Lead Agency is required to recover misspent funds as a result of fraud.

a) Check which activities (or describe under “Other”) the Lead Agency will use for unintentional program violations?

- ☒ Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount Although there is no minimum dollar amount to trigger overpayment recovery efforts, the CCDF Lead Agency can elect not to pursue overpayment recovery when the cost of recoupment equals or exceeds the amount of the overpayment.
- ☒ Only improper payments resulting from a program violation on the part of the client or the provider are pursued for repayment. Administrative improper payments are not collected as neither the client or provider caused the improper payment. _____
- ☒ Coordinate with and refer to other State/Territory agency (e.g., State/Territory collection agency, law enforcement)
- ☒ Recover through repayment plans
- ☒ Reduce payments in subsequent months
- ☒ Recover through State/Territory tax intercepts
- ☒ Recover through other means
- ☒ Establish a unit to investigate and collect improper payments. Describe The CCDF Lead Agency has embedded internal affairs investigators dedicated to the investigation of Child Care Assistance clients and providers suspected of having an improper payment. The investigators work with the provider Contracts Unit for provider improper payments and the Review and Reconciliation (Quality Assurance) Unit for client improper payments.
- ☐ Other. Describe _____
- ☐ None. Describe what measures the Lead Agency plans to put in place to address the investigation and recovery of misspent funds due to unintentional program violations, including action steps and completion timelines _____

b) Check which activities the Lead Agency will use for intentional program violations or fraud?

- ☒ Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount \$1.00
- ☒ Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement)
- ☒ Recover through repayment plans
- ☒ Reduce payments in subsequent months
- ☒ Recover through State/Territory tax intercepts
- ☒ Recover through other means
- ☒ Establish a unit to investigate and collect improper payments. Describe composition of unit below

The CCDF Lead Agency has embedded internal affairs investigators dedicated to the investigation of Child Care Assistance clients and providers suspected of having an improper payment. The investigators work with the provider Contracts Unit for provider improper payments and the Review and Reconciliation (Quality Assurance) Unit for client improper payments.

- ☐ Other. Describe _____
- ☐ None. Describe what measures the Lead Agency plans to put in place to address the investigation and recovery of misspent funds due to fraud, including action steps and completion timelines _____

c) Check which activities the Lead Agency will use for administrative error?

- ☐ Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount _____
- ☒ Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement)
- ☒ Recover through repayment plans
- ☒ Reduce payments in subsequent months
- ☒ Recover through State/Territory tax intercepts
- ☒ Recover through other means
- ☐ Establish a unit to investigate and collect improper payments. Describe composition of unit below
- ☒ Other. Describe The CCDF Lead Agency will pursue repayment of the improper payment for provider payment errors due to administrative error, however,

administrative errors impacting client eligibility will not be pursued for repayment purposes.

- ☐ None. Describe what measures the Lead Agency plans to put in place to address the investigation and recovery of misspent funds due to administrative error, including action steps and completion timelines _____

8.1.6 What type of sanction will the Lead Agency place on clients and providers to help reduce improper payments due to program violations? The Lead Agency is required to impose sanctions on clients and providers in response to fraud.

- ☐ ☒ Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified. Proposed administrative rules require an automatic appeals process for any client charged with an Intentional Program Violation (IPV). An Independent Administrative Law Judge will review the documentation, hear testimony, and determine whether to apply the IPV sanction.
- ☐ ☒ Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified. Providers who have been terminated for fraud (whether administratively or criminally determined) will have their contracts terminated and will be permanently disqualified from re-contracting with the Department of Economic Security, Child Care Administration. There is no appeal process once fraud has been determined.
- ☐ Additionally, effective July 1, 2016, DES will have the capability to disqualify other individuals who may have been involved in fraudulent activities with the provider (see contract). _____
- ☐ ☒ Prosecute criminally
- ☐ Other. Describe _____