



## **Child Care and Development Fund (CCDF) Plan**

**For**

**State/Territory:**

**ARIZONA**

**FFY 2012-2013**

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2011 – 9/30/2013. 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 herein.

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

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

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

**Form ACF-118 Approved OMB Number 0970-0114 expires 12/31/2013**

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**Child Care and Development Fund (CCDF) Plan  
For**

Arizona  
FFY 2012-2013

<b>PART 1 ADMINISTRATION</b>
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**1.1 Contact Information**

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

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

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

Address of Lead Agency: [1717 W. Jefferson, P.O. Box 6123, Phoenix, Arizona 85005](#)

Name and Title of the Lead Agency's Chief Executive Officer: [Clarence H. Carter, Director](#)

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

Fax Number: [\(602\) 542-5339](#)

E-Mail Address: [CCarter@azdes.gov](mailto:CCarter@azdes.gov)

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

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

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

Name of CCDF Administrator: [Brad Willis](#)

Title of CCDF Administrator: [Program Administrator, DES Child Care Administration](#)

Address of CCDF Administrator: [1789 W. Jefferson, SC 801A, Phoenix, Arizona 85007](#)

Phone Number: [\(602\) 542-4248](#)

Fax Number: [\(602\) 542-4197](#)

E-Mail Address: [BWillis@azdes.gov](mailto:BWillis@azdes.gov)

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

Phone Number for CCDF program information

(for the public) (if any): (602) 542-4248

Web Address for CCDF program

(for the public) (if any): <http://www.azdes.gov/childcare/>

Web Address for CCDF program policy manual

(if any): n/a

Web Address for CCDF program administrative rules

(if any): [http://www.azsos.gov/public\\_services/Title\\_06/6-05.htm](http://www.azsos.gov/public_services/Title_06/6-05.htm)

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

Name of CCDF Co-Administrator: n/a

Title of CCDF Co-Administrator: n/a

Address of CCDF Co-Administrator: n/a

Phone Number: n/a

Fax Number: n/a

E-Mail Address: n/a

Description of the role of the Co-Administrator:

n/a

## **1.2 Estimated Funding**

### **1.2.1 What is your expected level of funding for the first year of the FY 2012 - FY 2013 plan period?**

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2011 through September 30, 2012. (§98.13(a)).

FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching): \$  
\$115,228,600

Federal TANF Transfer to CCDF: \$ \$0

Direct Federal TANF Spending on Child Care: \$ \$2,717,800

State CCDF Maintenance-of-Effort Funds: \$ \$10,032,936

State Matching Funds: \$ \$19,827,000

**Reminder** - Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (§98.52) once all FY2012 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

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

Territories not required to meet CCDF Matching and MOE requirements should mark

N/A here

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

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

If checked, identify source of funds:

*A combination of public funds from identified sources that become available throughout the year.*

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

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

If checked, are those funds:

donated directly to the State?

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

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

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

State expenditures for Pre-K programs to meet the CCDF Matching Funds requirement.

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

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

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

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

State expenditures for Pre-K programs to meet the CCDF Maintenance of Effort (MOE) requirements.

If checked,

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

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

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

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

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

**1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2012.** In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.

<b>Activity</b>	<b>Estimated Amount of CCDF Quality Funds (indicate if targeted funds will be used)</b>	<b>Purpose</b>	<b>Projected Impact and Anticipated Results</b>
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8)Child Care for Children Residing in Residential Homeless/Domestic Violence Shelters	8)A combination of Quality Expansion, Infant/Toddler and 4 percent quality funds may be used for these activities	8)To improve the quality, availability and affordability of child care	8)Meeting the child care needs for special populations
9)Supporting School Age Program	9)CCR&R/School Age funding used	9)To improve the quality and availability of child care	9)Provide leadership and focus for promoting out-of-school time programs in Arizona
10)Support of Licensing and Monitoring Activities	10)A combination of Quality Expansion, Infant/Toddler and 4 percent quality funds may be used for these activities.	10)To improve the quality of child care	10)Maintaining staffing levels to ensure adequate and timely inspections
11)Coordination Activities Between State Agencies and Between Other Entities	11)A combination of Quality Expansion, Infant/Toddler and 4 percent quality funds may be used for these activities	11)To improve the quality, availability and affordability of child care	11)Improving intra and inter-agency communications

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

- No, the Lead Agency will manage all quality funds directly
- Yes, the Lead Agency will manage some quality funds directly and distribute a portion to local entities. Estimated amount or percentage to be distributed to localities

Yes, all quality funds will be distributed to local entities

Other.

Describe:

*Quality funds may be managed by the Lead Agency or by other state agencies. An estimate of the amount that may to be managed by each is unknown at this time.*

### 1.3 CCDF Program Integrity and Accountability

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

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

Describe:

*For services performed by Lead Agency Staff*

*The Lead Agency has developed an Administrative Rule and extensive policies to guide staff.*

*All newly hired staff attend in-person training that lasts approximately five weeks. At this hands-on training, staff learn the rules, how to apply policy based on case scenarios, and how to properly navigate the Child Care automated system. Staff are also briefed on proper interview techniques, the appeals process and other supportive services that are available to the families.*

*Supervisors conduct case reviews which are built in to staff performance evaluations for all case management staff to ensure cases are being completed properly. Any errors are discussed to make certain staff understand the proper application of policy. Additionally, new staff members, after returning from training, are assigned a mentor to assist with any questions that may arise.*

*The Lead Agency operates a “Help Desk” for staff members to call if they are uncertain about the proper application of the policy or automated system. Questions received are tracked and classified. The Policy Unit sends reminders to staff; reports for managers are prepared based on a review of the questions received.*

*The child care system is designed to ensure data integrity through cross-matching of data with other Lead Agency administrations such as Family Assistance Management Information System (FAMIS) and Unemployment Insurance Base Wage. The system will not allow an authorization to a TANF eligibility code if the family is not on TANF, or will provide exception reports when comparing income reported to Child Care against the employer reported income for an individual.*

*Additionally, the DES Child Care Administration conducts refresher trainings and training sessions on new policy and systems initiatives. These trainings provide support to case managers on an ongoing basis.*

*Finally, the utilization of reconciliation reports identifies, and/or resolves 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.*

*Fiscal Reporting*

*The Lead Agency’s automation system, Financial Management and Control System, is used in capturing expenditure data necessary to compile all required financial reports. The system has controls in place ensuring that all information is accurate and that all CCDF funds are expended according to all applicable state and federal laws and regulations. The Financial Services Administration (FSA), under the Office of the Director, is responsible for reporting all financial information. FSA has procedures in place to ensure that all reports are accurate, timely, and submitted in the specified manner.*

## Data Reporting

*The Lead Agency's automation system, the Arizona Child Care Administration Tracking System, is used in capturing client and provider data necessary to compile all required client and provider reports. The system has controls in place ensuring that all information is accurate and that all CCDF client and provider records are maintained according to all applicable state and federal laws and regulations. The Child Care Administration (CCA) under the Division of Employment and Rehabilitation Services (DERS) is responsible for the reporting of all client and provider data. CCA has procedures in place to ensure that all reports are accurate, timely and submitted in the specified manner. CCA submits the ACF-800 and the ACF-801 to ACF as required.*

## Error Rate Reporting

*Several controls are in place to ensure that Arizona's improper payment documentation meets the requirements set forth in the Child Care and Development Fund error rate reporting requirements. First cases are selected using an Access based random number generator. Then, case files are gathered by staff that do not manage the cases. A team made up of three individuals who are not involved with the eligibility determination process reads the cases. Cases with errors are discussed among the team members to ensure that they have consensus regarding the existence of the error. At least ten percent of the cases undergo second level reads. All data is checked and crosschecked by team members to ensure that computations are correct.*

## For Contracted Services

*Entities that provide Quality activities 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 solicit Request for Proposals 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 DES 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.*

*CCDF contracted 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.*

**1.3.2. Describe the processes the Lead Agency will use to monitor all sub-recipients.** Lead Agencies that use other governmental or non-governmental sub-recipients to administer the program must have written agreements in place outlining roles and responsibilities for meeting CCDF requirements. (98.11 (a) (3))

**Definition:** A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient and vendor** ([http://www.whitehouse.gov/omb/circulars/a133\\_compliance\\_supplement\\_2010](http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010)). The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payments.

Describe:

*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 solicit Request for Proposals 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 DES 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.*

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

Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Service (FNS), Medicaid))	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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

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

*The DES Child Care Administration prevents, identifies, and reduces improper payments by:*

- Conducting CCDF Error Rate Reviews in accordance with 45 CFR 98.100 to 102. (Note: As Arizona is a "2<sup>nd</sup>" year state; the CCDF Error Rate Report is due 6/30/12).*
- Routinely sharing and reviewing systems data with the State's Family Assistance Management Information System (FAMIS) (for TANF, Food Stamps, and Medical Assistance cases), and the Unemployment Insurance (UI) Base Wage automated system. This will identify and resolve discrepant income or household information reported by clients to other assistance programs or reported as wages by employers to the state of Arizona for UI tax purposes.*
- Routinely accessing online child support payment information from the DES Division of Child Support Enforcement regarding actual child support payment histories and disbursement schedules for known child care clientele.*
- Utilizing the DES Office of Internal Affairs, as needed, to substantiate household circumstances and resolve discrepancies regarding information reported by clients and providers, and to substantiate improper billings.*
- Training child care providers on proper billing techniques and conducting reviews on initial billing submittal to ensure that contract provisions are met.*

- *Conducting routine monitoring of existing provider’s billing by comparing parental sign in/sign outdocuments to billing claims to determine if the amount billed is substantiated.*
- *Running system reports that flag certain providers whose payments exceed anticipated billings based on provider capacity. Further review of billing practices is initiated based on reports.*
- *Utilizing a case reading instrument to identify errors in the elements of the eligibility determination, benefit calculation, and service authorization processes. First line supervisors conduct monthly case reads on a random sample of cases to promote consistent application of eligibility rules and procedures on a statewide basis.*
- *Conducting a comprehensive five-week course of integrated policy and systems training on the Child Care Program to prevent case management errors. All child care case managers are required to participate in the Child Care Basic Skills course upon being hired by the DES Child Care Administration. Additionally, the DES Child Care Administration conducts refresher trainings and training sessions on new policy and systems initiatives to provide support to case managers on an ongoing basis.*
- *Utilization of 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.*
- *Ensuring that staff has access to full time policy and systems help desks for direct case management support. Staff can call with policy or system questions to ensure appropriate application of policy and for assistance in determining eligibility or improper payment.*

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

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

Strategy	UPV	IPV and/or Fraud	Administrative Error
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Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount: \$ 1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
See description below - (Also see description below for discussion on minimum dollar amount referenced in previous question).			
Recover through repayment plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Reduce payments in the subsequent months	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through State/Territory tax intercepts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
See description below			
Other. Describe:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

*The DES Child Care Administration validates, tracks, and collects improper payments by pursuing overpayment recoupment with clients for all client caused overpayments, and providers for all provider caused overpayments; and by pursuing criminal prosecution in all*

*cases of suspected fraud.*

*Although there is no minimum dollar amount to trigger overpayment recovery efforts, the DES Child Care Administration can elect not to pursue overpayment recovery when the cost of recoupment equals or exceeds the amount of the overpayment.*

*The DES Child Care Administration coordinates with the DES Office of Accounts Receivable (OARC) for collection of overpayments that are the result of unintentional program violations; however, if the overpayment amount exceeds \$2000, OARC automatically refers the case to the Criminal Prosecution unit in the Attorney General's Office to determine whether fraud is indicated.*

*The DES Child Care Administration also coordinates with the DES Office of Special Investigations and the Office of Internal Affairs when an intentional program violation (IPV) is suspected. If the resultant investigative report indicates potential fraud, the case will also be referred to the Criminal Prosecution Unit in the Attorney General's Office.*

*In cases where there is insufficient evidence to support IPV/criminal prosecution, the case is remanded back to OARC to pursue overpayment recoupment administratively.*

*For provider caused overpayments, the DES Child Care Administration does not go through OARC for child care providers that hold a valid subsidy reimbursement contract, but simply recovers the overpaid amounts from future provider reimbursements until the overpaid amount has been repaid. If a provider no longer holds a subsidy contract, the overpayment is referred to OARC for collection activities.*

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

None

Disqualify client.

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

Disqualify provider.

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

*The DES Child Care Administration reserves the right to terminate contracts with child care providers that routinely submit improper payment requests. There is no internal appeal process.*

Prosecute criminally

Other.

Describe.

*The DES Child Care Administration validates, tracks, and collects improper payments by pursuing overpayment recoupment with clients for all client caused overpayments, and providers for all provider caused overpayments; and by pursuing criminal prosecution in all cases of suspected fraud.*

**1.3.6 Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below.** Territories not required to complete the Error Rate Review should mark

<b>Activities identified in ACF-402</b>	<b>Cause/Type of Error (if known)</b>	<b>Actions Taken or Planned</b>	<b>Completion Date (Actual or planned) (if known)</b>
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<p>1)Case Review Strategies Create a peer review process to measure progress on Federal Error Rate markers on a continuous basis.</p> <p>This process would include the creation of a peer review form that is similar to the Federal Error Rate form. The process would require that supervisors initiate corrective action reviews with the Child Care Specialist in question, based on the findings of the peer review. The process would also include an opportunity for local offices to have roundtable discussions and submit questions to Central Office for clarification.</p>	<p>1)N/A (broad strategy to address all error types)</p>	<p>1)The peer review process was not implemented as all field staff are subject to the Supervisory case review process described below.</p>	<p>1)Not planned at this time as sufficient coverage is achieved via supervisory case reviews (but may be invoked as needed due to lack of adequate supervisory staffing in the future).</p>
<p>2)Refine the existing supervisory case read process: Revise the existing process to resemble the process used in determining the Federal Error Rate. The new process would align the current case read tool with that used for the Federal Error Rate and would include a random sampling methodology. It will include a second level review process.</p>	<p>2)N/A (broad strategy to address all error types)</p>	<p>2)The supervisory case review process was developed and implemented in September 2009</p>	<p>2)Implemented September 2009 (process is ongoing statewide)</p>
<p>3)Conduct ongoing case reads using the process outlined in the Improper Authorization for Payment Data Collection Instructions.</p> <p>The process used by DES Child Care Administration Central Office Staff during the current reporting period would be used on an ongoing basis, with random samples being conducted either monthly or quarterly.</p>	<p>3)N/A (broad strategy to address all error types)</p>	<p>3)CCDF required federal error rate reviews are ongoing, conducted by a specialized evaluation unit.</p>	<p>3)Arizonas first ACF-402 report was submitted to DHHS on 6/30/09.</p> <p>Arizonas next (2nd) ACF-402 report is due for submission on 6/30/12.</p>
<p>4)Conduct 2nd Level Supervisory Case</p>	<p>4)N/A (Broad strategy to address all error types)</p>	<p>4)The 2nd level supervisory case review</p>	<p>4)Implemented November 2009 (process</p>

<p>Reads: In addition to the ongoing process, another process would be put in place to evaluate an additional 10 cases per month. These cases would consist of second level reviews of cases read during the supervisory case read process and cases selected using criteria identifying them as a case with a higher potential for error (e.g. a school-aged child, differences in income recorded by the Child Care Administration and the Family Assistance Administration, etc.)</p>		<p>process was developed and implemented in November 2009</p>	<p>is ongoing)</p>
<p>5)Policy Revisions During the process of evaluating the major causes of errors, we determined that many of the errors resulted from misinterpretation of current policy or by failure to apply procedures that were administratively cumbersome for offices facing staffing shortfalls and rising caseloads. The policies and procedures that apply to the major error categories will be reviewed and revised to provide clearer direction, additional examples, and to eliminate unnecessary requirements, resulting in an error due to misapplication of the requirement.</p>	<p>5)Income calculation errors (math computation errors; incorrect pay checks counted for the most recent 30 day period; incorrect pay frequency multiplier used; including or excluding income sources incorrectly; using net instead of gross income figures; incorrect family size determinations).</p> <p>Verification errors (failure to obtain/use correct documentation of income and other eligibility factors).</p> <p>Unit calculation errors (failure to calculate units correctly based on verified work/eligible activity schedules; failure to subtract child's school schedule; failure to consider the eligible activity of the other parent).</p>	<p>5)Multiple Policy clarifications and directives were developed to address high error prone areas.</p> <p>An automated income calculation process was developed (WORD document with embedded EXCEL features) to calculate all sources of income for individual family members and compute monthly totals for the household.</p>	<p>5)July 2009 through the present</p> <p>July 2009 June 2010</p>
<p>6)Forms revision A number of the forms required in the case file were completed incorrectly by the clients, third parties (such as doctors, counselors, employers, etc.) and staff due to the complexity of the form. These forms will be subject to revision.</p>	<p>6)See above.</p>	<p>6)The Child Care Assistance Application; Employment/Wage Verification Statement; and Case Action Summary (to capture case data and perform household income calculations) have all been revised based on federal error rate data.</p>	<p>6)July 2009 June 2010</p>

7) Training DES Child Care Administration has identified and provides additional targeted training (e.g. proper case documentation, income calculation, etc.) that needs to be provided to staff based upon the errors that were found.	7) See above.	7) Formal training sessions were developed and presented in face to face classroom settings on a statewide basis to implement policy changes, clarifications, and the new automated income calculation process.	7) July 2009 September 2009 February March 2010 June July 2010 May July 2011
8) In addition, training curriculum for new staff will be reviewed to ensure that staff are obtaining skill practice in those areas of eligibility determination identified as error-prone.	8) See above.	8) Basic Skills training for new case managers was revised to incorporate the curriculum presented to existing staff based on error trend data.	8) July 2009 through the present
9) Also, additional training will be necessary to successfully implement the case review processes, policy revisions, and forms revisions that are part of this comprehensive error reduction strategy.	9) See above.	9) See above.	9) See above.

## **1.4 Consultation in the Development of the CCDF Plan**

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

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

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

<b>Agency/Entity</b>	<b>Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan</b>
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**Representatives of general purpose local government (required)**

This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.

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

*DES Child Care Advisory Committee, Tri-Agency Committee, DES Early Childhood Taskforce, Early Childhood and Provider Network Meetings, the Arizona Early Childhood Development and Health Board (also known as First Things First), and DES Community Network Teams.*

*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 agencies; 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.*

*Additionally, representatives from state agencies including: the Governor's Office for Children, Youth and Families (GOCYF), the Arizona Early Childhood Development and Health Board, the Arizona Department of Education (ADE) and the Arizona Department of Health Services (DHS), also participate in the CCAC. (The GOCYF includes the Division of School Readiness, Division for Community and Youth Development, Division for Children, Division for Women, and the Division for Substance Abuse and Prevention. The ADE administers Preschool, Title I, and the Child and Adult Care Food programs. The DHS administers the Office of Child Care Licensure, Behavioral Health Services, and the Office of Women and Children's Health.)*

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

*In Arizona, child care services are administered at the state level, consistent with state legislation and budgetary appropriations.*

*Organizations and individuals have the opportunity to communicate and provide input to their local elected officials in order to influence legislation and appropriations for child care services and programs. Utilizing input and direction from various sources, the Arizona Department of Economic Security (DES) also plans for the provision and delivery of CCDF services in a manner that is responsive to the needs of Arizona's communities.*

*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 DES Child Care Advisory Committee, the Governor's Division of School Readiness, Tri-Agency Committee, DES Early Childhood Taskforce, Early Childhood and Provider Network Meetings, the Arizona Early Childhood Development and Health Board (also known as First Things First), and DES Community Network Teams. 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.*

*DES Child Care Advisory Committee - For issues related to ongoing service delivery and development of the CCDF State Plan, DES consults with the Child Care Advisory Committee (CCAC), which typically meets four times per year. The CCAC includes individuals that represent statewide organizations with local affiliations, tribes, cities, and councils of governments that administer federal early childhood services. The CCAC is provided with information on caseload and cost of care, issues regarding service delivery and any other available information that affect early care and education programs in the state. The CCAC provides recommendations to DES on programs and on activities and services to improve the quality and availability of child care, which are funded using CCDF Quality earmarks and Set-Asides and which are feasible given statutory authority and availability of appropriated funds.*

*DES Early Childhood Taskforce - The DES is atypical in that it combines most of the state's social service programs within a single agency. These include: Child Care Assistance, Employment services, Part C of the federal Assistance to States for the Education of Children with Disabilities and the Early Intervention Program for Infants and Toddlers with Disabilities program, nutrition assistance, cash assistance (TANF), child support enforcement, and child welfare. The DES Early Childhood Task Force was established to mobilize DES early childhood programs, resources and initiatives in a manner that promotes interdepartmental coordination and communication and facilitates interagency collaboration and system integration in concert with many of DES strategic initiatives.*

*DES Community Network Teams - At the county level, there is one or more DES Community Network Teams (CNT) whose purpose is to assess local DES service delivery, and to provide input, feedback, and recommendations to DES for improvements including child care. The CNT provides oversight for DES local operations and addresses issues within the community related to DES services, identifies gaps in services between programs DES offers and others within the community and looks for ways to fill the gaps. Membership includes consumers, leaders of neighborhood/community-based/faith-based organizations, private agencies (e.g., United Way offices, universities, and non-profit providers), business leaders, local elected and appointed officials, human service delivery system representatives, health care provider representatives, education community representatives, law enforcement representatives, and prevention service providers.*

*Additionally, through participation in local and statewide committees and boards, DES consults with representatives of local governments who serve in various capacities.*

**For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.**

<input checked="" type="checkbox"/> State/Territory agency responsible for public education  This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.	<i>DES consults with the Arizona Department of Education (ADE) in development of the CCDF State Plan through their participation on the Child Care Advisory Committee and through regular on-going communication regarding other issues and mutual areas of concern.</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for programs for children with special needs  This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	<i>The DES is the lead agency for the Part C program (Arizona Early Intervention Program - AzEIP). The AzEIP 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 purpose of early intervention is to help families help their children develop to their full potential. The DES Child Care Administration consults and communicates regularly with AzEIP, not only for the purpose of gaining input on the development of the State Plan, but also to improve services and service coordination for infants, toddlers and their families.</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for licensing (if separate from the Lead Agency)	<i>The Arizona Department of Health Services, Office of Child Care Licensing (DHS-OCCL), is responsible for both the licensing of child care centers and the certification of child care group homes and participates in the DES Child Care Advisory Committee. Additionally, DHS-OCCL has provided consultation and input into the development of the CCDF State Plan particularly with respect to areas that discuss activities to ensure the health and safety of children in child care.</i>
<input checked="" type="checkbox"/> State/Territory agency with the Head Start Collaboration grant	<i>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 sits on the DES Child Care Advisory Committee.</i>
<input checked="" type="checkbox"/> Statewide Advisory Council authorized by the Head Start Act	<i>The Arizona Early Childhood and Development Health Board (also known as First Things First) has been designated as the State Advisory Council. The Department of Economic Security 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 DES Child Care Advisory Committee.</i>

<input checked="" type="checkbox"/> Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	<i>In addition to consulting with various entities in drafting the CCDF State Plan, DES provides representatives of local governments, including Tribal organizations, the opportunity to comment on the provision of services under the CCDF Plan at public hearings.</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	<i>In addition to having regular communications with the DES Child Care Administration on shared issues, representatives from the Arizona Department of Education, which administers the CACFP, participate in the Child Care Advisory Committee.</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	<i>The Arizona Department of Health Services participates in the Child Care Advisory Committee.</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	<i>The Arizona Department of Health Services participates in the Child Care Advisory Committee.</i>
<input checked="" type="checkbox"/> State/Territory agency responsible for child welfare	<i>In Arizona, DES is the lead agency responsible for administration of the child welfare programs through the Division of Children, Youth &amp; Families (DCYF) which oversees various programs including child protective services, foster care, and, adoptions. The DES Child Care Administration (CCA) 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 DCYF. CCA seeks input from DCYF on the development of the State Plan through regular ongoing internal communications.</i>
<input type="checkbox"/> State/Territory liaison for military child care programs or other military child care representatives	



State/Territory agency responsible for employment services/workforce development

*In Arizona, DES is the lead agency responsible for administration of employment services/workforce development through the Division of Employment and Rehabilitation Services (DERS) of which the Child Care Administration is a component. Also within DERS 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 secure and maintain employment). Consultation within DERS 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 DERS Administrations.*



State/Territory agency responsible for Temporary Assistance for Needy Families (TANF)

*In Arizona, DES is the lead agency responsible for administration of the TANF program through the Division of Benefits & Medical Eligibility (DBME) which oversees three administrations with varying responsibilities to support the DES mission to promote the safety, well-being, and self-sufficiency of children, adults, and families. The DES Child Care Administration (CCA) 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. CCA seeks input from DBME on the development of the State Plan through regular ongoing internal communications.*

<input checked="" type="checkbox"/>	<p>Indian Tribes/Tribal Organizations</p> <p><input type="checkbox"/></p> <p>N/A: No such entities exist within the boundaries of the State</p>	<p><i>In addition to having tribal representation on the CCAC, DES participates in and funds the Tribal Early Childhood Working Group that has been established and is facilitated by the Inter Tribal Council of Arizona. 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 DES 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 CCDF State Plan. DES also meets as needed with individual representatives of Tribal TANF and Tribal employment programs in order to discuss child care issues and needs. Additionally, DES 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 State Plan.</i></p>
<input checked="" type="checkbox"/>	<p>Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21</p>	<p><i>Through their participation in the DES Child Care Advisory Committee, DES 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.</i></p>
<input checked="" type="checkbox"/>	<p>Provider groups, associations or labor organizations</p>	<p><i>A representative from the Arizona Child Care Association is a member 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. Additionally, a representative of the Arizona Family Childcare Association is a member of 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.</i></p>

<input type="checkbox"/> Parent groups or organizations	
<input checked="" type="checkbox"/> Local community organizations (child care resource and referral, Red Cross)	<p><u><i>The following community organizations may participate in the Child Care Advisory Committee:</i></u></p> <p><i>Early Childhood and Provider Network, DES Community Network Teams, private agencies providing child care and early childhood development services such as: Head Start programs; resource and referral agencies; child welfare advocacy groups; 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.</i></p> <p><i>In addition to community organizations participating in the DES Child Care Advisory Committee, DES utilizes Community Network Teams - Within each county there is one or more DES Community Network Teams (CNT) whose purpose is to assess local DES service delivery, and to provide input, feedback, and recommendations to DES for improvements. The CNT provides oversight for local DES operations and addresses issues within the community related to DES services, identifies gaps in services between programs DES offers and other programs within the community, and looks for ways to fill the gaps.</i></p>
<input type="checkbox"/> Other	

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

a) Date(s) of notice of public hearing: 05/09/2011

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

b) How was the public notified about the public hearing? On May 9, 2011, the DES Child Care Administration filed formal notice of the Public Hearing in accordance with Arizona Revised Statutes 38-431.02. The Public Notice was also posted in all DES Child Care Administration local offices.

Additionally, on May 31, 2011, the DES Office of Communications issued a news release to approximately 50 media outlets (television, radio and print), throughout the state, publicizing the Public Hearings that were held on June 7, 2011, in Phoenix, Arizona, and on June 9, 2011 in Tucson, Arizona. Notice of the Public Hearings was posted in all DES Child Care offices throughout the state and on the DES Website. Copies of the notice were also mailed or e-mailed to other parties such as Tribal and local units of government, the DES Child Care Advisory Committee, and other groups that may have an interest in child care.c) Date(s) of public hearing(s): 06/07/2011

**Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2011).**

d) Hearing site(s) Public Hearings were held on June 7, 2011, in Phoenix, Arizona, and on June 9, 2011 in Tucson, Arizona

e) How was the content of the Plan made available to the public in advance of the public hearing(s)? Copies of the draft Plan were available for review, prior to the hearings, at DES District Child Care Offices and on the DES Website. This information was specified in the Notice of the Public Hearings and in the News Release.

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 will be captured and considered for possible impacts and implementation based on current statutory language and appropriation levels. Additionally, any factual errors, confusing language, or other reasonable edits suggested in the public hearings will be corrected or clarified.

1.4.2 a) June 7, 2011, in Phoenix, Arizona, and on June 9, 2011 in Tucson, Arizona

**1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing.** For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules.

**1.4.3. Describe:**

*The public hearings were held in more than one location and were scheduled during evening hours to accommodate parent and provider work schedules.*

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

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

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

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

<b>Agency/Entity (check all that apply)</b>	<b>Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services</b>	<b>Describe the goals or results you are expecting from the coordination</b>  Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
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<input checked="" type="checkbox"/>	<p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p><i>The DES Child Care Advisory Committee is the primary vehicle for coordinating with representatives of general-purpose local government. For issues related to ongoing service delivery, DES meets with the Child Care Advisory Committee (CCAC), which typically meets four times per year. The CCAC includes individuals that represent statewide organizations with local affiliations, tribes, cities, and councils of governments that administer federal early childhood services. Additional representation on the CCAC includes: 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 agencies; 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. Also participating in the CCAC are representatives from state agencies including, the Arizona Early Childhood Development and Health Board (also known as First Things First), the Governor’s Office for Children, Youth and Families (GOCYF), the Arizona Department of Education (ADE) and the Arizona Department of Health Services (DHS), also participate in the CCAC. (The GOCYF includes the Division for Community and Youth Development, Division for Children, Division for Women, and the Division for Substance Abuse and Prevention. The ADE administers Preschool Handicapped, Title I, and the Child and Adult Care Food programs. The DHS administers the Office of Child Care Licensure, Behavioral Health Services, and the Office of Women and Children’s Health.)</i></p>	<p><i>The CCAC is provided with information on caseload and cost of care, issues regarding service delivery and any other available information that affects early care and education programs in the state. The CCAC provides recommendations to DES on programs and on activities and services to improve the quality and availability of child care, which are funded using CCDF Quality earmarks and Set-Asides.</i></p>
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<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public education <b>(required)</b>  This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p><i>DES coordinates with the Arizona Department of Education (ADE) through their participation in the Child Care Advisory Committee and through regular on-going communication regarding other issues and mutual areas of concern.</i></p>	<p><i>Through communication with representatives from ADE, DES receives and shares information regarding programmatic issues, the status of pre-kindergarten programs and other areas of mutual concern.</i></p>
<input checked="" type="checkbox"/> <p>Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services <b>(required)</b></p>	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to "Representatives of general purpose local government" above.</i></p>	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to "Representatives of general purpose local government" above.</i></p>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for public health <b>(required)</b></p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to "Representatives of general purpose local government" above.</i></p>	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to "Representatives of general purpose local government" above.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for employment services / workforce development <b>(required)</b></p>	<p><i>The Child Care Administration is an administration within the DES Division of Employment and Rehabilitation Service (DERS). Also within DERS are the Rehabilitation Services Administration and the Employment Administration (which consists of the employment and training services that support and assist TANF and non-TANF individuals secure and maintain employment). Coordination within DERS 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 respective DERS 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.</i></p>	<p><i>Coordination of services within DES regarding 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.</i></p>

<input checked="" type="checkbox"/>	State/Territory agency responsible for providing Temporary Assistance for Needy Families (TANF) (required)	<p><i>In Arizona, DES is the lead agency responsible for administration of the TANF program and Employment services/Workforce Development. The DES Child Care Administration (CCA) 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.</i></p>	<p><i>Enhanced data sharing between the Child Care automated system and the FAMIS system for TANF reduces errors, promotes accuracy in determining TANF related child care eligibility, and reduces redundant verification efforts for mutual clientele.</i></p> <p><i>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 Waiting List.</i></p>
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<input checked="" type="checkbox"/>	Indian Tribes/Tribal Organizations (required) <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	<p><i>The Inter Tribal Council of Arizona (ITCA) is represented on the DES 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.</i></p> <p><i>DES 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.</i></p>	<p><i>In addition to having tribal representation on the CCAC, DES participates in and funds the Tribal Early Childhood Working Group that has been established and is facilitated by ITCA. This group's membership includes representatives from Indian Nations and 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. DES 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.</i></p>
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**For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery**

<input checked="" type="checkbox"/>	State/Territory agency responsible for licensing (if separate from the Lead Agency)	<p><i>Representatives from the Arizona Department of Health Services (DHS), Office of Child Care Licensing (OCCL), both participate in the Child Care Advisory Committee and also meet and communicate with staff from the DES Child Care Administration (CCA) on a regular basis.</i></p>	<p><i>Coordination results in the sharing of information regarding child care providers that are licensed/certified by the OCCL in order to insure that providers are meeting required licensing requirements. Additionally, both OCCL and CCA staff participate in reciprocal workgroups that are utilized to review standards of care.</i></p>
<input checked="" type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to "Representatives of general purpose local government" above.</i></p>	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to "Representatives of general purpose local government" above.</i></p>

<input checked="" type="checkbox"/> <p>Statewide Advisory Council authorized by the Head Start Act</p>	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to “Representatives of general purpose local government” above.</i></p>	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to “Representatives of general purpose local government” above.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)</p>	<p><i>Representatives from the Arizona Department of Education, which administers the CACFP, both participate in the Child Care Advisory Committee and also meet and communicate with staff from the DES Child Care Administration on a regular basis.</i></p>	<p><i>Coordination results in the sharing of information regarding child care providers that are involved with both the CACFP and DES and ensuring that family child care homes certified by DES participate in the CACFP.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to:</p> <p>State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p><i>In Arizona, in addition to being the Lead agency for the CCDF, DES is the lead agency for the Part C program (Arizona Early Intervention Program-AzEIP). The AzEIP is a statewide system of supports and services for families of infants and toddlers, birth to three years of age, with disabilities or delays.</i></p>	<p><i>The purpose of early intervention is to help families’ help their children develop to their full potential. The DES Child Care Administration communicates regularly with AzEIP to improve services and service coordination for infants, toddlers and their families.</i></p>

<input checked="" type="checkbox"/> <p>State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant</p>	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to “Representatives of general purpose local government” above.</i></p>	<p><i>See discussion of the DES Child Care Advisory Committee provided in the response to “Representatives of general purpose local government” above.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory agency responsible for child welfare</p>	<p><i>In Arizona, in addition to being the Lead agency for the CCDF, DES is the lead agency responsible for administration of the child welfare programs through the Division of Children, Youth &amp; Families (DCYF) which oversees various programs including child protective services, foster care and, adoptions. The Child Care Administration (CCA) communicates and works closely with DCYF on a regular basis.</i></p>	<p><i>CCA and DCYF work on issues such as developing and implementing referral processes to insure that families referred for services have timely and accurate child care authorizations. Another example would be a mutual effort that brings together representatives of DCYF and members of the Child Care Advisory Committee to work on improved communications and understanding of issues that affect individual child care providers that have children in care who are involved in the child welfare system.</i></p>
<input checked="" type="checkbox"/> <p>State/Territory liaison for military child care programs or other military child care representatives</p>	<p><i>DES 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.</i></p>	<p><i>Working with military child care representatives has resulted in DES eligible families being able to use family child care homes approved by military child care programs.</i></p>
<input checked="" type="checkbox"/> <p>Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21</p>	<p><i>Through an Interagency Services Agreement, DES provides funds to the Governor’s Office of Children, Youth &amp; Families (GOCYF) that are used to contract with and support the Arizona Center for Afterschool Excellence (AzCASE) which participates in the Mott Statewide After-School Network.</i></p> <p><i>In addition to coordinating with the GOCYF regarding this contract, the AzCASE is a member of and participates in the DES Child Care Advisory Committee.</i></p>	<p><i>AZCASE provides leadership and focus for promoting out-of-school time programs in Arizona. Through a network of diverse stakeholders for children, youth and families the Center is creating a single, unifying voice for after-school programs in Arizona to address a focused agenda that include high-profile policy development, partnership linkages, professional development, and enhanced funding for the field of out-of-school time. AZCASE aims to improve access to quality out-of-school learning opportunities for all Arizona children and youth through professional development, advocacy, and community capacity building.</i></p>

<input checked="" type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	<i>See discussion of the DES Child Care Advisory Committee provided in the response to “Representatives of general purpose local government” above.</i>	<i>See discussion of the DES Child Care Advisory Committee provided in the response to “Representatives of general purpose local government” above.</i>
<input checked="" type="checkbox"/>	Provider groups, associations or labor organizations	<i>Both the Arizona Child Care Association, which represents private, licensed child care centers statewide and the Arizona Family Childcare Association, participate in the DES Child Care Advisory Committee.</i>	<i>In addition to their participation in the Child Care Advisory Committee, both of these organizations communicate with the CCA on a regular basis to share ideas, concerns and expertise on issues and matters that impact the delivery of child care services provided in the state.</i>
<input checked="" type="checkbox"/>	Parent groups or organizations	<i>See discussion of the DES Child Care Advisory Committee provided in the response to “Representatives of general purpose local government” above.</i>	<i>See discussion of the DES Child Care Advisory Committee provided in the response to “Representatives of general purpose local government” above.</i>
<input checked="" type="checkbox"/>	Other	<p><i>1) In addition to community organizations participating in the DES Child Care Advisory Committee DES utilizes Community Network Teams (CNT). Within each county there are one or more DES Community Network Teams whose purpose is to assess local DES service delivery. They also provide input, feedback, and recommendations to DES for improvements.</i></p> <p><i>2) Additionally, local CCA management staff are involved in activities and efforts throughout the state. This includes working with local groups such as: the Early Care Partnerships of Northern and Southern Pima County; 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.</i></p> <p><i>3) The Arizona Department of Economic Security, Child Care Administration also participates in a tri-agency committee. This committee is made up of representatives from Arizona Department of Education, Arizona Department of Economic Security, and Arizona Department of Health Services.</i></p>	<p><i>1) The CNT provides oversight for local DES operations and addresses DES services related issues within the community; identifies gaps in services between programs DES offers and other programs within the community and looks for ways to fill the gaps.</i></p> <p><i>2) 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 the employment training; and, collaboration focusing on all aspects of Child Care, including provision, literacy, health and advocacy.</i></p> <p><i>3) 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.</i></p>

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

Yes. If yes,

a)

Provide the name of the entity responsible for the coordination plan(s):  
The Arizona Early Childhood Development and Health Board (First Things First)

b)

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

*Birth to age six*

c)

Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):

Yes

No

d)

Provide a web address for the plan(s), if available:

<http://www.azftf.gov/MediaCenter/Documents/Strategic%20Plan%20Roadmap.pdf>

No

**1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs?** (658D(b)(1)(D), §98.14(a)(1)) Check which entity(ies), if any, the State/Territory has chosen to designate.

State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.

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

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

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

*The Arizona Early Childhood Development and Health (First Things First) Board acts as the State Advisory Council in Arizona and focuses on children birth to five. The Director of the Arizona Department of Economic Security sits on the Board as an Ex-Officio member.*

Local Coordination/Council

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

Other

Describe

None

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

Yes .

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

*Whenever possible, DES will administer the child care program in a manner that will improve the availability, affordability and quality of child care and actively promote public/private partnerships. DES 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 examples of ongoing or planned partnerships in Arizona and their impact on meeting child care needs:*

*The Arizona Early Childhood Comprehensive Systems Initiative of the State Maternal and Child Health Early Childhood Comprehensive Systems (SECCS) Implementation Grant Program, Led by the First Things First Board:*

*This project is being accomplished through the development of an integrated early childhood education system that provides children and families with access to a medical home; information and support for positive social emotional development and, as needed, appropriate behavioral health services; high quality, developmentally appropriate early care and education; parent education, and family support services.*

*Groups and organizations that have collaborated in this effort or have benefited from the program include: Arizona Chapter of the American Academy of Pediatrics; Arizona Child Care Association; Arizona Child Care Resource and Referral agencies; Arizona Department of Health Service's Division of Behavioral Health, Office of Women's and Children's Health, and Office for Child Care Licensure; Arizona Department of Economic Security's Child Care Administration, Child Protective Services and TANF programs; Arizona Health Care Cost Containment System*

*and KidsCare (Arizona's Titles XIX and XXI programs); Chase Emergent Leaders program participants; Children's Action Alliance; Child Care Health Consultants; child care centers; community colleges; county public health departments; Harris Institute for Infant/Toddler Mental Health; Head Start programs, Tribal Head Start programs and the State Head Start Collaboration Office; Parent Leaders of the Community Development Initiative; Protecting Arizona's Family Coalition; Southwest Human Development; United Way of Tucson and Southern Arizona; University of Arizona Cooperative Extension; Valley of the Sun United Way; and the Virginia G. Piper Charitable Trust.*

#### *Helios Education Foundation Professional Development Model*

*The Helios Education Foundation is the largest nonprofit organization serving Arizona and Florida focused solely on education, and is dedicated to enriching the lives of individuals by creating opportunities for success in postsecondary education. Helios Education Foundation is designed to exist in perpetuity, so its commitment is long-term. Student success across the pre-kindergarten (Pre-K) through postsecondary education continuum is the driver of the Foundation's decision-making. Its goal is to increase the number of young adults successfully completing postsecondary education with the skills and knowledge necessary to compete in a global economy.*

*The Professional Development Project is a research and evaluation program that allows for the collection and dissemination of information regarding the correlation between the education levels of early childhood professionals and the quality of care provided to children and families. This project will serve formal and informal early childhood education professionals and practitioners. The project is designed to develop a professional development model that addresses the following objectives:*

- Increase the educational level of those who are working with young children in center-based and home-based child care programs.*
- Facilitate a smooth pathway of articulation between levels of educational attainment {training hours to Continuing Education Units (CEUs), CEUs to credit hours, Child Development Associate (CDA) to Associate of Arts (AA), AA to Bachelor of Science} including a continuing education plan (First Things First, PELL etc) in order to continue with identified educational pathways.*
- Develop a coordinated system of professional development so that early childhood professionals have easy access to information and resources.*
- Increase the availability of innovative and non-traditional education systems for those seeking degree attainments.*
- Evaluate the connection between quality improvement in child care and increased professional development opportunities.*

*The Lead Agency as well as many key stakeholders both within and outside of state government is participating in this effort. These participants include: the Valley of the Sun United Way; Helios Education Foundation; Arizona Department of Education; Arizona Child Care Association; Arizona Early Childhood Development & Health Board (First Things First); Governor Brewer's Office for Children, Youth and Families; Arizona State University; Arizona Literacy and Learning Center; and Maricopa County Community Colleges.*

#### *The DES routinely encourages public/private partnerships when contracting for services.*

*Each Request for Proposal (RFP) solicitation requires the potential bidders to describe how public/private partnerships will be developed, promoted and nurtured. RFP responses that demonstrate past success and/or innovative plans to develop public/private partnerships are more likely to be considered for an award. After contract award, service providers are asked to report on the success of their efforts.*

*Examples of success in developing public/private partnerships are found in various contracts that deliver occupational/vocational training to Arizona’s child care providers. Businesses that find the training and technical assistance to be beneficial to the community provide facilities to host the training for free or at a reduced cost. Some trainings offer “door prizes” to participants that are donated by private businesses. Printing companies have offered discounts on the printing and workbooks used in trainings.*

No

## **1.6. Child Care Emergency Preparedness and Response Plan**

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

[http://www.acf.hhs.gov/programs/ccb/law/state\\_topic\\_emergency.htm](http://www.acf.hhs.gov/programs/ccb/law/state_topic_emergency.htm)

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

**Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.

**Developed.** A plan has been developed as of **[insert date]:** and put into operation as of **[insert date]:** , if available. Provide a web address for this plan, if available:

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

*DES has developed and implemented a Continuity of Operations Plan for continuing essential services (i.e., contracting for child care providers; paying providers; receiving referrals for service from TANF and Child Protective Services; and determining eligibility for families) during and after an emergency event.*

*This plan details the steps necessary to resume business operations in the event of an emergency and how essential services will be maintained until a full resumption occurs.*

*All new contracts that DES approves have a provision that requires the contractor to develop a plan to address emergency situations such as pandemics. Each contractor must show: key succession and performance planning if there is a sudden, significant decrease in contractor’s workforce; alternative methods to ensure there are services or products in the supply chain; and an up to date list of company contacts and an organizational chart.*

*Additionally, DES participates in tabletop, functional, and full-scale exercises with other state agencies and counties. During these exercises, the DES is participating in the mass care at the State Emergency Operations Center. The DES coordinates any resources necessary for critical business functions.*

*DES also coordinates with other State, County, and emergency management agencies, as well as key community partners, with regard to care of children in emergency preparedness, response, and recovery. Annual full-scale exercises held at the Palo Verde Nuclear Generating Station include hands-on simulations of caring for children at the Reception and Care Center in disaster situations. In addition, the Red Cross is in the process of implementing new federal policies incorporating the sheltering of children within general population shelters.*

*Although in Arizona, there is not a regulatory requirement for child care providers, the Arizona Department of Health Services has developed an Emergency Preparedness checklist for licensed child care providers. The web address for this checklist is:  
[http://www.azdhs.gov/als/childcare/documents/providers/forms/emergency\\_preparedness.pdf](http://www.azdhs.gov/als/childcare/documents/providers/forms/emergency_preparedness.pdf)*

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

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

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

**2.1 Administration of the Program**

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

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

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

State/Territory

Local entity.

If checked, provide the name(s) of the local entity:

Other.

Describe:

Sliding fee scale is set by the:

State/Territory

Local entity.

If checked, provide the name(s) of the local entity:

Other.

Describe:

Payment rates are set by the:

State/Territory

Local entity.

If checked, provide the name(s) of the local entity:

Other.

Describe:

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

### Implementation of CCDF Services/Activities

#### Who determines eligibility?

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

#### Agency (Check all that apply)

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

Describe:

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

Describe:

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

#### Agency (Check all that apply)

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

Describe:

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

Describe:

**Who issues payments?**

**Agency (Check all that apply)**

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

Describe:

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

Describe:

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

*Payment is issued to the provider either through direct deposit into a banking account specified by the provider or through a warrant that is mailed to the provider.*

**Other. List and describe:**

**2.2. Family Outreach and Application Process**

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

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

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

(provide website): [www.azdes.gov/childcare/](http://www.azdes.gov/childcare/)

- Promotional materials
- Community outreach meetings, workshops or other in-person meetings

- Radio and/or television
- Print media
- Other.

Describe:

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

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

(provide website):

- By Email
- Other.

Describe:

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

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

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

*The state of Arizona ensures that parents are informed about their ability to choose from family and group home care, center-based care and in-home care (including faith-based providers) through a variety of strategies, as outlined below. Faith-based providers are not a specific provider type but may exist within various provider types, and are therefore not referred to as a distinct and separate category of care.*

*Utilization of brochures for consumer education regarding provider options: The DES Child Care Programs brochure is made available at every local office and various community agencies for anyone expressing an interest in receiving Child Care Assistance. The brochure lists the types of child care providers that contract with the Department of Economic Security Child Care Administration and also provides information about assistance with locating a child care*

*provider through Child Care Resource and Referral (CCR&R). The toll free phone number and website for CCR&R are listed in the brochure for easy reference by customers.*

*The CCR&R also distributes their own individual brochures to local offices and community agencies. The CCR&R brochure contains information on choosing quality child care, the types of child care available, and information on how to contact CCR&R for assistance with provider location.*

*Interview policy requires dialogue regarding provider options: Reinforced in training and by management oversight, DES Child Care Administration policy requires that Child Care specialists provide information to the client at initial interview to enable them to make an informed choice of child care arrangements. The following child care options must be discussed with the client and the discussion documented in the case file:*

- *Licensed Centers;*
- *Certified Family Child Care Group Homes;*
- *Certified In-Home Care Providers;*
- *Certified Group Homes;*
- *Relative Providers; and*
- *Non-reimbursable care (i.e., Head Start, public preschool).*

*Automated notice inserts describing provider options: Automated decision notices mailed to ongoing clients also include a "DES Child Care Services Information" insert, which contains information on assistance in locating a child care provider, and directing the client to contact CCR&R for additional assistance.*

*The DES Child Care Administration Website: The DES Child Care Administration website <http://www.azdes.gov/childcare/informs> individuals that CCA certifies and contracts with small family child care homes, contracts with Department of Health Services (DHS) licensed child care centers and group homes, and non-certified relative providers to provide child care services for eligible families. The site contains "information for parents" which lists the types of providers who contract with DES. It states that if a parent cannot find a child care provider they can contact their local DES Child Care office or CCR&R for assistance in finding a provider that suits their needs. The website also provides information on what to look for when choosing a provider. Two links also available on the DES CCA website providing access to CCR&R's home page. They are: [www.arizonachildcare.org/](http://www.arizonachildcare.org/) and the CCR&R on-line referral system: <http://azchildcare.org/referral.html>.*

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

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

*The DES contracts with community-based organizations and institutions of higher learning for the purpose of providing other quality activity that increase parental choice and improve the quality and availability of child care. These services include:*

- *Providing resources to assist in meeting the increasing demand for child care in rural and low-income urban areas by recruiting and providing orientation and training for family child care providers;*
- *Providing resources to assist with costs associated with meeting requirements to be a child care home provider;*
- *Providing support to providers that are pursuing national accreditation through enhanced training/technical assistance, and mini-grants;*
- *Providing support to providers that are pursuing higher education through the payment of tuition, books and fees for Child Development Associate (CDA) and other Early Childhood Education classes at Community Colleges;*
- *Providing resources to families that are homeless or victims of domestic violence by supporting on-site licensed child care centers at shelters;*
- *Providing resources to families by paying an enhanced rate for providers that are nationally accredited; and*
- *Depending on the availability of funding, DES may engage in additional activities to increase parental choice and improve the quality and availability of child care.*

The expected results of these activities are:

- *Parents will have increased options when selecting child care;*
- *Barriers will be removed for providers seeking to improve the level of quality they offer and also for those interested in becoming child care providers;*
- *More child care providers will pursue higher education or national accreditation which has been shown to increase the quality of care; and*
- *Families will have greater accessibility to nationally accredited providers.*

### **2.2.5. How will the Lead Agency promote access to the CCDF subsidy program?**

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

- Provide access to program office/workers such as by:
- Providing extended office hours
- Accepting applications at multiple office locations
- Providing a toll-free number for clients
- Other.

Describe:

- Using a simplified eligibility determination process such as by:
- Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
- Developing a single application for multiple programs
- Developing web-based and/or phone-based application procedures
- Coordinating eligibility policies across programs.

List the program names:

- Streamlining verification procedures, such as linking to other program data systems
- Providing information multi-lingually

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

Length of time: [Up-front job search is allowable for TANF Cash Assistance Grant Diversion participants for up to 3 months.](#)

Other.

Describe:

Other.

Describe:

None

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

Provide CCDF assistance during periods of job search.

Length of time: [Gaps of employment coverage for two 30 day periods in each 12 month period; the 30 day periods may be consecutive if needed.](#)

Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI)

Synchronize review date across programs

List programs:

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

Describe:

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

Describe:

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

Describe:

- Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility, such as changes in income below a certain threshold or change in employment
  - Targeted case management to help families find and keep stable child care arrangements
  - Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year
  - Other.
- Describe:

None

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

- Application in other languages
  - 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
  - Other.
- Describe:

None

**(Optional) If the Lead Agency checked any option above related to providing information or services in other non-English languages, please describe the languages offered :**

*In many offices, DES has Child Care Specialists who are bi-lingual and speak Spanish. In certain areas of the state, Child Care Specialists may also work with other agency staff who would provide interpretation for individuals who speak Navajo. Additionally, DES has a contract with Language Line Services. Through this contract, DES is able to utilize certified interpreters that provide interpretation in over 150 languages.*

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

- Informational materials in non-English languages
- Training and technical assistance in non-English languages
- CCDF health and safety requirements in non-English languages
- Provider contracts or agreements in non-English languages
- Website in non-English languages
- Bilingual caseworkers or translators available
- Other.

Describe:

None

**(Optional) If the Lead Agency checked any option above related to providing information or services in other non-English languages, please describe the languages offered:**

*In many offices, DES has Child Care Specialists who are bi-lingual and speak Spanish. In certain areas of the state, Child Care Specialists may also work with other agency staff who would provide interpretation for individuals who speak Navajo. Additionally, DES has a contract with Language Line Services. Through this contract, DES is able to utilize certified interpreters that provide interpretation in over 150 languages.*

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

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

<https://www.azdes.gov/InternetFiles/InternetProgrammaticForms/pdf/CC-001.pdf>

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input checked="" type="checkbox"/> Applicant identity	<i>State issued Driver License or ID card, passport, etc.</i>
<input checked="" type="checkbox"/> Household composition	<i>Declared on application, verified if questionable, cross referenced with the FAMIS system for TANF eligibility</i>
<input checked="" type="checkbox"/> Applicant's relationship to the child	<i>Declared on application, verified if questionable, cross referenced with the FAMIS system for TANF eligibility; verified for nonparent relatives</i>

<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	<i>Declared on application, verified if questionable, cross referenced with the FAMIS system for TANF eligibility</i>
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	<i>Declared on application, verified via employer's statements, pay stubs, or class schedules, or via "The Work Number" (if the employer is listed)</i>
<input checked="" type="checkbox"/> Income	<i>Declared on application, verified via employer's statements, pay stubs, or employer collateral contacts, or via "The Work Number" (if the employer is listed); child support verification obtained via online interface, cross referenced with the FAMIS system for TANF eligibility</i>
<input type="checkbox"/> Other. Describe:	

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

Time limit for making eligibility determinations.

Describe length of time *As soon as verification is received, but no later than 30 days from the application file date.*

Track and monitor the eligibility determination process

Other.

Describe

None

**2.2.11. Are the policies, strategies or processes provided in questions 2.1.1. through 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))**

Yes.

If yes, describe:

*Families receiving TANF are not required to complete an application or appear for a face-to-face interview. They may request services verbally via the telephone. A family may also be determined eligible on an individual case-by-case basis and referred to a DES Child Care specialist by a DES TANF case manager or a contracted Jobs casemanager based on the services needed to support participation in the TANF employment plan.*

No.

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

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

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

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 participants home, to the child care provider, and to a work activity, is less than 1 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 DES 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:

## 2.3. Eligibility Criteria for Child Care

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

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

*residing with -*

*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.*

*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.*

### 2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from birth weeks to 12 years (maximum age under age 13).

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

Yes, and the upper age is

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), §98.20(a)(1)(ii))

Yes, and the upper age is

No.

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

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

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

*means the performance of duties on a regular basis for wages or monetary compensation. Authorized care includes travel time and up to two 30-day "gaps in employment" periods per year to promote continuity of care and support job searching after job loss.*

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

Yes.

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

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

*attending job training or educational program -*

*means to be present, at an activity outside of the individual's home, on a regular and acceptable basis, as determined by the trainer or educator.*

• *job training and educational program - 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:*

*a. 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.*

*b. The DES Jobs or contracted Jobs vendor approved education/training activities. 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.*

*c. Other education and training activities (listed in i. through iv. below) is 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:*

*i) Attendance at college or trade/vocational activities.*

*ii) Attendance at structured work readiness activities (typically involving structured classes and*

*employment preparation activities).*

*iii) 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.*

*iv) Attending lab classes.*

No.

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

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

Yes.

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

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

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

*protective services*

*means: a) A child who needs child care as specified in a DES Child Protective Services (CPS) or foster care case plan and who is referred for child care services by a CPS 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.*

*However, for the purposes of question b) below, the co-payment and income eligibility requirements may be waived on a case-by-case bases only for those who meet the definition of protective services cited in a) in the preceding paragraph.*

No.

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

Yes,

No.

## 2.3.5. Income Eligibility Criteria

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

*income -*

### DEFINITION OF "INCOME" FOR THE PURPOSES OF ELIGIBILITY DETERMINATION

(The following information is excerpted from the DES Child Care Policy Manual)

#### I. Income Eligibility for Child Care Assistance

Income eligibility for child care assistance is based on the gross monthly income of all family members who are included in Family Size as described below.

#### II. Family Size

Family size is based on the applicant (primary person) and any other parent or responsible person residing in the same household who are legally responsible to financially support either the applicant, or dependents residing in the same household for whom Child Care Assistance is being requested.

##### **A. Family size shall consist of:**

- The applicant for Child Care Assistance;
- The applicant's children (under the age of 18 years);
- Any other parent/responsible person in the household who is legally/financially responsible for either the applicant, or for the children needing care;
- The children of the other parent/responsible person residing in the same household (under the age of 18 years); and
- A tax claimant who claims a member of the eligible family residing in the same household as a dependent on the tax claimant's federal or state income tax return for the current calendar year:

##### **B. Treatment of Temporarily Absent Spouses**

Parents/responsible persons who are legally married to the applicant and who are temporarily separated physically but with intentions of remaining a family (e.g. incarceration, military assistance) shall be included in family size if the absent spouse is engaged in an eligible activity for Child Care Assistance purposes.

##### **C. When the Applicant is a Caretaker Nonparent Relative of the Children Needing Care**

When the caretaker non-parent relative is requesting Child Care Assistance for other related children only (e.g. nieces/nephews, grandchildren): The caretaker non-parent relative is not counted in the family size, and; the child is a household of one with only the child's income counted.

##### **D. When the Applicant is the Legal Guardian of the Children Needing Care**

When the legal guardian is applying for a child in guardianship only: The legal guardian shall not be included in family size; their income shall be excluded and; the child shall be considered as a household of one with only the child's income counted.

##### **E. Unwed Minor Parents who Live with their Parents**

When the applicant is an unwed minor parent (is not married, separated, or divorced) who also resides with their own parents, the following guidelines apply.

If Child Care Assistance is requested for the children of a minor parent who resides with their parents, the Specialist shall make one family size determination for the family consisting of the minor parent, his/her child, and the other parent/responsible person of the child needing care.

The parents and siblings of the minor parent shall not be included in family size (however, a portion of the income received by the parents of the minor parent shall be deemed and counted as available to the minor parent, after an amount equivalent to 165% of FPL {for the parents of the minor parent and their children} has been subtracted).

If however, the parent of the minor parent claims either the minor parent or the minor parent's child as a tax dependent on a federal or state income tax return, the parents and siblings of the minor parent shall be included in family size, and all of the income of received by the parents of the minor parent shall be counted as available to the minor parent.

### **III. Countable Income**

The gross monthly income of a family shall include:

**A.** Gross earnings received for work including: wages, salary, armed forces pay (Base Pay only: military allotments for food and shelter costs provided to military personnel who live off base are excluded from the income calculation), commissions, tips, overtime, teaching assistance wages, piece-rate payments, and cash bonuses earned, before any deductions (including but not limited to taxes, bonds, pensions, union dues, and garnishments).

**B.** Net income from non-farm self employment, which includes gross receipts minus business expenses.

Gross receipts include the value of all goods sold and services rendered.

Business expenses include costs of goods and services purchased or produced, rent, heat, light, power, depreciation charges, wages, and salaries paid, business taxes and other expenses incurred in operating the business. The value of salable merchandise consumed by the proprietors of retail stores is not included as part of net income. Payments on loans or mortgages obtained to increase capital investments in property or equipment are not allowed as deductible expenses.

**C.** Net income from farm self employment which includes gross receipts minus operating expenses from the operation of a farm by persons as owner, renter, or tenant farmer.

Gross receipts include the value of all products sold, government crop loans, money received from the rental of farm equipment to others and incidental receipts from the sale of wood, sand, gravel, and similar items.

Operating expenses include costs of feed, fertilizer, seed, and other farming supplies, wages paid to farm hands, depreciation charges, cash rent, interest on farm mortgages, farm building repairs, farm taxes (not state and federal income taxes), and other expenses incurred in operation of the farm. The value of fuel, food, or other farm products used for family living is not included as part of net income. Payments on loans or mortgages obtained to increase capital investments in property or equipment are not allowed as deductible expenses.

**D.** Social Security payments prior to deductions for medical insurance including Social Security benefits and "survivors" benefits, and permanent disability insurance payments made by the Social Security Administration.

**E.** Railroad retirement insurance income.

**F.** Dividends including interest on savings/checking accounts, stocks, and bonds, membership in association, income and receipts from estates or trusts, net rental income (minus deductions for costs or repairs, utilities paid, maintenance insurance and mortgage payments prorated on a monthly basis), net royalties, receipts from boarders or lodgers (net income received from furnishing room and board shall be one third of the total amount charged). Interest on Series H. United States Government Savings bonds shall be prorated on a monthly basis.

**G.** Mortgage payments received shall be prorated on a monthly basis.

**H.** Public assistance payments including payments from the following programs: Cash Assistance, Supplemental Security Income (SSI), State Supplementary Payments (SSP), General Assistance (GA), Bureau of Indian Affairs General Assistance (BIAGA), and Tuberculosis Control (TC).

**I.** Pensions and annuities including pensions or retirement benefits paid to a retired person or their survivors by a former employer or by a union, or distributions or withdrawals from an individual retirement account. If payments are made in periodic payments from annuities of insurance, the payments shall be prorated on a monthly basis.

**J.** Unemployment Insurance payments including compensation received from government unemployment insurance agencies or private companies during periods of unemployment, and any strike benefits received from union funds.

**K.** Worker's compensation payments.

**L.** Money received from the Domestic Volunteer Act when the adjusted hourly payment is equal to or greater than minimum wage. Action Volunteer Programs include VISTA, Foster Grandparent Program (FGP), Retired Senior Volunteer Program (RSVP), and Senior Companion Program (SCP).

**M.** Alimony or spousal maintenance which shall be counted the month received.

**N.** Child support which shall be counted the month received.

**O.** Veterans' pensions including benefits and disability payments paid periodically by the Veterans Administration to members of the Armed Forces or to a survivor of deceased veterans. Money received shall be prorated on a monthly basis.

**P.** Cash gifts received on a monthly (or recurring) basis from relatives, other individuals, and private organizations, as a direct payment in the form of money.

**Q.** Money received through the lottery, sweepstakes, contests, or through gambling ventures whether received on an annuity or lump sum basis.

**R.** Any other source of income not specifically excluded as outlined in Excluded Income below.

#### **IV. Excluded Income**

The gross monthly income for a family shall not include:

**A.** Per capita payments to or funds held in trust for any individual in satisfaction of a judgment of the Indian Claims Commission or the Court of Claims.

- B.** Payments made pursuant to the Alaska Native Claims Settlement Act to the extent such payments are exempt from taxation under section 21 (a) of the Act.
- C.** 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 was engaged in the business of selling such property, in which case the net proceeds would be counted as income from self employment).
- D.** Withdrawals of bank deposits.
- E.** Loans; money borrowed.
- F.** Tax refunds.
- G.** Any monies received through the federal Earned Income Credit (EIC).
- H.** One time lump sum awards or benefits, including:
- Inherited funds;
  - Insurance awards;
  - Damages recovered in a civil suit;
  - Monies contributed by a client to a retirement fund that are later withdrawn prior to actual retirement;
  - Retroactive public assistance payments; and
  - Lump sum child support payments intercepted by the Division of Child Support Enforcement (DCSE) from an absent parent's tax refund from the IRS.
- I.** The value of U.S. Department of Agriculture (USDA) Food Stamps.
- J.** The value of USDA donated food.
- K.** The value of any supplemental food assistance received under the Child Nutrition Act of 1966 and special food service program for children under the National School Lunch Act, the Women, Infant, and Children Program (WIC), Child and Adult Care Food Program (C.A.C.F.P.), and the School Lunch Program.
- L.** Any payment received under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (e.g. Navajo/Hopi Relocation Act).
- M.** Earnings of a child who is under the age of 18 and attending high school or other training program, and who is not a minor parent who needs Child Care Assistance for his or her own child (the earnings of a minor parent who needs care for his or her own child are countable).
- N.** Home produce used for household consumption.
- O.** Government sponsored training program expenses (TRE payments) such as: training related expenses paid to Jobs participants and Job Training Partnership Act (JTPA) training expenses paid directly to the client.
- P.** Military allotments for food and shelter costs for military personnel who live off base, when the allotment is specifically designated as such (e.g. Basic Allowance for Quarters [BAQ]). Armed forces base pay is countable income.
- Q.** The value of goods or services received in exchange for work.
- R.** Interest on Series E United States Government Savings bonds.

**S.** Foster care maintenance payments received for care of foster children.

**T.** Adoption subsidy payments received for the care of adopted children.

**U.** Educational loans, grants, awards, and scholarships regardless of their source, including Pell Grants, Supplemental Educational Opportunity Grants (SEOG), Bureau of Indian Affairs (BIA) Student Assistance Grants, college work study income, Carl D. Perkins Vocational and Applied Technology Education Act income, and any other state or local, public or private educational loans, grants, awards, and scholarships.

**V.** Money received from the Domestic Volunteer Act when the adjusted hourly payment is less than minimum wage; Action Volunteer Programs include VISTA, Foster Grandparent Program (FGP), Retired Senior Volunteer Program (RSVP) and Senior Companion Program (SCP).

**W.** Housing and Urban Development (HUD) benefits, cash allowances and credits against rent.

**X.** Vendor payments including payments made directly to a third party by friends, relatives, charities, or agencies to pay bills for the client.

**Y.** Vocational Rehabilitation (VR) training related expenses (TRE) which are reimbursements for expenses paid. Subsistence and maintenance allowances, and incentive payments not designated as wages. Intended use shall be verified by the VR counselor.

**Z.** Disaster relief funds and emergency assistance provided under the Federal Disaster Relief Act, and comparable assistance provided by a State, local government, or disaster assistance organization.

**AA.** Energy assistance including all state or federal benefits designated as “energy assistance” or assistance from a municipal utility or non-profit agency.

**BB.** Agent Orange payments.

**CC.** Reimbursements for job related expenses, which are less than or equal to the actual expense incurred. This includes reimbursements for child care expenses from an employer paid to an employee to the extent that the reimbursement does not exceed the actual child care expenses paid by the employee.

**DD.** Any other income specifically excluded by applicable state or federal law.

## **V. Income Deduction**

Child support that is paid for dependents who do not reside in the same household with the eligible family shall be deducted from the monthly gross countable income prior to income calculation and fee level and copayment assignment.

## **VI. Income Calculation**

The Child Care Specialist shall calculate gross monthly income as outlined below.

**A.** The Specialist shall include all income of all family members included in the family size determination, other than excluded income (refer to Excluded Income for definitions of excluded income sources).

**B.** The Specialist shall calculate a monthly figure for each source of income separately with the appropriate method used for calculation.

**C.** After calculating monthly income for each source of income, the Specialist shall add the monthly amounts from each source to obtain the total monthly income.

**D.** The Specialist shall convert income received less often than monthly to a monthly figure as indicated below.

- The Specialist shall prorate the total income over the number of months that the income is intended to cover.
- If the income is received on or after the date of application, a monthly share of income shall be considered beginning with its earliest possible effective date and for a number of months equal to the number of months, which the income covers.
- If the family receives the income prior to the date of application, the number of months that the income is intended to cover shall be equal to the number of months of coverage remaining.

**E.** The Specialist shall convert income received more often than monthly, for a period covering less than a month, to a monthly amount by one of the methods listed below.

- If the income amount does not vary and is received monthly, weekly, bi-weekly, or semi-monthly, the conversion to a monthly amount will be obtained by multiplying the pay period amount by: a) 1, if monthly; b) 4.3, if weekly; c) 2.15, if bi-weekly; or d) 2, if semi-monthly.
- This amount shall be applied as income on an ongoing monthly basis until there is a change in the income.
- If the monthly income received varies in amount and frequency, and exact monthly figures are unavailable, the Specialist shall use an average monthly figure.

**F.** When a family receives a new income source that will be received monthly, weekly, bi-weekly or semi-monthly: A new fee level or ineligibility shall not be assessed to the client until the monies are available to the client and; the income shall not be considered available to the family until 10 days after the date that the first full payment is received.

## **VII. Income Deeming Process for Unwed Minor Parents who Live with Their Own Parents**

When unwed minor parents reside with their own parents, a portion of the gross monthly income of parents of unwed minor parents shall be deemed as available and considered countable income for the unwed minor parent for the purpose of determining income eligibility. The deeming process shall not be applied when the minor parent does not reside with their own parents, when the minor parent is married, separated, or divorced, or when the parent of the minor parent claims the minor parent or minor parent's child as a tax dependent.

**A.** When unwed minor parents reside with their own parents, the Child Care Specialist shall:

- Verify monthly countable earned and unearned income received by the parents of the unwed minor parent;
- Deduct any Child Support paid by the parent of the unwed minor parent from the total countable income; and
- Determine the total number of household dependents for whom the parents of the unwed minor parent have the legal and financial responsibility to support. This number shall include: The parent(s) themselves; and any other children or dependents residing in the same household. This number shall not include the unwed minor parent and their children.

**B.** The deeming process applies to unwed minor parents only, and shall not be used when the minor parent is married, separated, or divorced.

**C. Dependent Deduction Chart**

The following worksheet and chart displays how income, that will be deducted from the parents' gross monthly income based on the number of their dependents as described above, is determined. The remaining income shall be deemed as available to the unwed minor parent.

**CHILD CARE ASSISTANCE UNWED MINOR PARENT DEEMING WORKSHEET**

CASE NAME (Last, First, M.I.)	CLIENT ID
1. Total Monthly Earned Income received by parent of the unwed minor parent.	\$
2. Total Monthly Unearned Income received by parent of the unwed minor parent.	\$
3. Subtotal (Add lines 1 and 2)	\$
4. Number of dependents ____; Enter amount required to support the other dependents according to the Dependent Deduction Chart below (this number includes the parents of the minor parents, and any of their children and dependents residing in the same household; this number does not include the minor parent or the minor parent's children).	\$
5. Child Support payments paid monthly for persons living outside of the home.	\$
6. Subtotal (Add lines 4 and 5)	\$
7. Total income deemed as available to the unwed minor parent. (Subtract line 6 from line 3)	\$
8. Earned income received monthly by the unwed minor parent.	\$
9. Unearned Income received monthly by the unwed minor parent.	\$
10. Total countable income for the unwed minor parent. (Add lines 7, 8, and 9)	\$
11. Enter fee level if the unwed minor parent is eligible for Child Care Assistance	

**Dependent Deduction Chart**

<b>Number of Dependents</b> <i>(Not including minor parent and the minor parent's child[ren])</i>	<b>Income Deducted From Parents Income To determine Deemed Portion</b> <i>(Effective July 1, 2011)</i>
1	\$1,499
2	\$2,023
3	\$2,550
4	\$3,074
5	\$3,599
6	\$4,125
7	\$4,650
8	\$5,175
9	\$5,701
10	\$6,226
11	\$6,751
12	\$7,277

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

- Adoption subsidies
- Foster care payments
- Alimony received or paid
- Child support received
- Child support paid
- Federal nutrition programs
- Federal tax credits
- State/Territory tax credits
- Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- Medical expenses or health insurance related expenses

- Military housing or other allotment/bonuses
- Scholarships, education loans, grants, income from work study
- Social Security Income
- Supplemental Security Income (SSI)
- Veteran's benefits
- Unemployment Insurance
- Temporary Assistance for Needy Families (TANF)
- Worker Compensation
- Other types of income not listed above:

*See response at 2.3.5. a)*

None

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

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

Describe:

*Earnings of a child under the age of 18 and attending high school or other training program, (and who is not a minor parent who needs child care assistance for his or her own child) are excluded. The earnings of a minor parent who needs care for his or her own child are countable.*

*Earned and unearned income received by a caretaker relative who is applying for a related child (e.g., grandchild, niece, nephew, etc.) are excluded; income received for the support of the related child is counted (e.g., TANF Cash Assistance, child support, Social Security benefits).*

None

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

**Reminder** - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2011 poverty guidelines are available at <http://aspe.hhs.gov/poverty/11poverty.shtml>.

Family Size	(a)  100% of State Median Income (SMI)(\$/month)	(b)  85% of State Median Income (SMI)(\$/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c)  \$/month	(d)  % of SMI [Divide (c) by (a), multiply by 100]
1	2995	2546	1499	50
2	3917	3329	2023	52
3	4838	4112	2550	53
4	5760	4896	3074	53
5	6682	5680	3599	54

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

Yes.

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

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

No.

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

f) SMI Year FFY 2012 and SMI Source Federal Register/76 FR, 21750, No. 2011-8993, 4/18/11, pp 21750-21752

g) These eligibility limits in column (c) became or will become effective on:  
7/1/2011

### 2.3.6. Eligibility Re-determination

a) What is the re-determination period upon initial authorization of CCDF services for most families?

- 6 months
- 12 months
- 24 months
- Other.

Describe:

- Length of eligibility varies by county or other jurisdiction.

Describe:

b) Is the re-determination period the same for all CCDF eligible families?

- Yes.
- No. If no, **check the categories of families for whom authorizations are different and describe the redetermination period for each.**

- Families enrolled in Head Start and/or Early Head Start Programs.

Re-determination period:

- Families enrolled in pre-kindergarten programs.

Re-determination period:

- Families receiving TANF.

Re-determination period:

- Families who are very-low income, but not receiving TANF.

Re-determination period:

- Other.

Describe:

*Generally, authorizations are created for six month periods. For TANF participants in the Jobs Program, however, the authorization is tailored to the TANF employment plan, and can be less than six months if needed.*

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

- Yes.

If yes, describe:

*The review process is automated. Review packets, including the application are mailed to families due for review. An interview is not required; necessary communication is conducted via phone, U.S. mail, email and fax. Verification of eligibility factors is performed via systems and on-line data matches to the greatest extent possible.*

No.

### 2.3.7. Waiting Lists

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

Lead Agency currently does not have a waiting list and:

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

Lead Agency has an active waiting list for:

- Any eligible family who applies when they cannot be served at the time of application
- Only certain eligible families.

Describe those families:

*All new applicants are placed on the waiting list with the exception of: TANF recipients who need child care for employment or Jobs program participation, former TANF recipients who are eligible for Transitional Child Care and, CPS referred families.*

Waiting lists are a county/local decision.

Describe:

Other.

Describe:

### 2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations:

*Families are directed (on each decision notice) that they may appeal an eligibility decision or action denying, terminating or reducing benefits by submitting a written request for appeal to the DES Child Care Administration within 10 days following the notice generation date. Families have the option of continuing benefits pending an appeal decision; however, they are responsible for the ensuing overpayment if the appeal decision is not in their favor.*

### 2.4. Sliding Fee Scale and Family Contribution

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

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

The attached sliding fee scale was or will be effective as of: [7/1/2011](#)

#### 2.4.2. Will the attached sliding fee scale provided as Attachment 2.4.1. be used in all parts of the State/Territory?

- Yes  
 No.

If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.2a, 2.4.2b**, etc.

#### 2.4.3. What income source and year will be used in creating the sliding fee scale? (658E(c)(3)(B)) Check only one option.

- State Median Income,  
Year:
- Federal Poverty Level,  
Year: [2011](#)
- Income source and year varies by geographic region.  
Describe income source and year:

Other.

Describe income source and year:

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

Fee as dollar amount and

Fee is per child with the same fee for each child

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

No additional fee charged after certain number of children

Fee per family

Fee as percent of income and

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

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

No additional percentage applied charged after certain number of children

Fee per family

Contribution schedule varies by geographic area.

Describe:

Other.

Describe:

*For families eligible for Transitional Child Care (TCC), the fee is a dollar amount with the fee being the same for each child, however there is no additional co-payment charged beyond the third child.*

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

*More than one option checked; see description under "Other" above.*

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

Yes,

and describe those additional factors:

No.

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

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

ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.

NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee.

The poverty level used by the Lead Agency for a family of 3 is:

SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families:

The Lead Agency waives the fee for the following families:

*Families who have an open TANF case and whose income is at or below the poverty level will not have a required co-payment.*

## **2.5. Prioritizing Services for Eligible Children and Families**

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

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

Children with special needs

**Provide the Lead Agency definition of *Children with Special Needs*:**

*- means a child who needs 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.*

Describe:

Children in families with very low incomes

**Provide the Lead Agency definition of *Children in Families with Very Low Incomes*:**

*- means an income at or below 100 percent of the Federal Poverty Level, as determined by the DES Child Care Administration.*

Describe:

<b>How will the Lead Agency prioritize CCDF services for:</b>	<b>Eligibility Priority (Check only one)</b>	<b>Is there a time limit on the eligibility priority or guarantee?</b>	<b>Other Priority Rules</b>
Children with special needs	<input type="checkbox"/> Priority over other CCDF-eligible families <input checked="" type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other.	<input type="checkbox"/> Yes. The time limit is: <input type="text"/> <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe: <input type="text"/> <input checked="" type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care <input type="checkbox"/> Prioritizes quality funds for providers serving these children <input type="checkbox"/> Other. Describe: <input type="text"/>

Children in families with very low incomes	<input checked="" type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other.	<input type="checkbox"/> Yes. The time limit is: <input type="text"/> <input checked="" type="checkbox"/> No	<input type="checkbox"/> Different eligibility thresholds. Describe: <input type="text"/> <input type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level <input checked="" type="checkbox"/> Other. Describe: <input type="text" value="n/a"/>
--	--	---	--

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

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

**2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency.** (658E(c)(3)(B), §98.16(g)(5), §98.20(b))  
 Reminder - Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

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

Describe:

- *Transitional Child Care (TCC) - means child care assistance offered to families who: a) have received TANF within six months of application for child care services; b) apply for services within six months of TANF case closure; c) are in need of child care because they are working; and d) have income that does not exceed the income level used to limit eligibility as defined in*

*the table at Section 2.3.5. Eligibility for TCC may continue for up to 24 months following TANF case closure. TCC families are not subject to the waiting list.*

- *Jobs Program - means an administrative unit within DES, which is responsible for the administration of a program, which assists TANF recipients prepare for, obtain, and retain employment; or any other entity that contracts with DES to perform the function(s) stated above. DES may also provide services (under this definition) to TANF recipients to enable them to participate in an activity required and approved by a Tribal employment program as a condition of receipt of TANF benefits. Jobs participants are not subject to the waiting list.*
- *Low income (and at risk of becoming dependent on TANF) - means a family eligible for child care services with income between 101 percent and 165 percent of the Federal Poverty Level, as determined by the DES Child Care Administration.*

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

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

### **2.6.1. Child Care Certificates**

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

- Before parent has selected a provider
- After parent has selected a provider
- Other.

Describe:

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

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

Website: <http://www.arizonachildcare.org>

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

Describe:

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

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

Describe:

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

*100 percent*

## 2.6.2. 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), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b)). **Note:** Do not check "yes" if every provider is simply required to sign an agreement in order to be paid in the certificate program.

- Yes.

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

- No.

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

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

Describe:

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

Specify:

- Other.

Describe:

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

Yes.

No,

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

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

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

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

- Signed declaration
- Parent Application
- Parent Orientation
- Provider Agreement
- Provider Orientation
- Other.

Describe:

*All child care providers must have a Registration Agreement with DES 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 (DHS), requires facilities to allow parents, guardians or authorized representatives to have immediate access.*

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

- No
- Yes. If checked, what limits will the Lead Agency set on the use of in-home care?

Check all limits the Lead Agency will establish.

- Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
- Restricted based on provider meeting a minimum age requirement

- Restricted based on hours of care (certain number of hours, non-traditional work hours)
- Restricted to care by relatives
- Restricted to care for children with special needs or medical condition
- Restricted to in-home providers that meet some basic health and safety requirements
- Other.

Describe:

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

*By law, the Arizona Department of Health Services (DHS) 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. Members of the public may review child care center and group home licensing/certification files in DHS Offices of Child Care Licensing at various locations around the state. The public may also contact a DHS Office of Child Care Licensure 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 DHS Division of Licensing Services Office of Child Care Licensing: <http://hsapps.azdhs.gov/ls/sod/SearchProv.aspx?type=CC>.*

*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 DES. 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.*

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

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

### 2.7.1. Provide a copy of your payment rates as Attachment 2.7.1.

The attached payment rates were or will be effective as of: [April 2009](#)

### 2.7.2. Are the attached payment rates provided in Attachment 2.7.1 used in all parts of the State/Territory?

Yes.

No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.2a, 2.7.2b**, etc.

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

Policy on length of time for making payments.

Describe length of time: [Per state statute and as cited in the child care subsidy contract, DES has 30 days to issue payment \(after the receipt of correctly completed billing information\).](#)

Track and monitor the payment process

Other.

Describe:

*[Use of electronic submission of billing information and direct deposit for payment.](#)*

None

### 2.7.4. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2009). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02

<http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-02/pi2009-02.htm> for more information on the MRS deadline).

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): [06/2010](#)

b) Attach a copy of the **MRS instrument** and a **summary of the results** of the survey **as Attachment 2.7.4**. For Lead Agencies that use an administrative provider database, provide a copy of the intake form as the instrument. The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

**2.7.5. Will the Lead Agency use the local Market Rate Survey identified in 2.7.4a (i.e., the most recent MRS) to set its payment rates?**

Yes

No.

If no, list the MRS year that the payment rate ceiling is based upon: 2000

**2.7.6. At what percentile of the most recent local MRS are or will payment rates be set?** Provide the percentile for your payment rate ceiling in relation to the most recent survey and **describe**:

**Note:** Identify the percentile where payment rates fall according to the most recent local MRS (identified in 2.7.4a) regardless of whether or not you use the most recent survey to set rates. If the percentile(s) varies across categories of care (e.g., different for centers and family child care homes), regions or ages of children, provide the range of the highest and lowest percentile in relation to the most recent survey.

*Arizona has established individual maximum payment rates for a full range of providers, i.e., center, group home and home based care. 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. As a result of these variations, the percentile at which each payment rate falls varies. With respect to percentiles of the 2010 Survey, current maximum payment rates range from:*

*(For the 48 unique center rates) - 2<sup>nd</sup> to the 86<sup>th</sup> percentile  
(average being the 26<sup>th</sup> percentile)*

*(For the 48 unique family child care home rates) - 8<sup>th</sup> to the 56<sup>th</sup> percentile  
(average being the 30<sup>th</sup> percentile)*

*(For the 48 unique family group home rates) - 1<sup>st</sup> to the 74<sup>th</sup> percentile  
(average being the 25<sup>th</sup> percentile)*

**2.7.7. Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies?** Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement.

Differential rate for nontraditional hours.

Describe:

Differential rate 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 that each child's capabilities and needs are met.*

Differential rate for infants and toddlers.  
Describe:

Differential rate for school-age programs.  
Describe:

Differential rate for higher quality as defined by the State/Territory.  
Describe:

*Effective August 1999, the DES Enhanced Rate for Accredited Programs became operational. The intent of the Enhanced Rate is two-fold: 1) to make higher quality (accredited) child care slots available to DES 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 DES 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-Age Child Care Programs). The DES 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 DES, in consultation with the Child Care Advisory Committee, adopted additional standards that are more specific to home based programs and school age. These 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]

Other differential rate.

Describe:

None.

**2.7.8. Will the Lead Agency allow providers to charge parents any additional fees?**

Check the policies, if any, the Lead Agency has chosen to establish regarding additional fees.

Providers are allowed to charge the difference between the maximum reimbursement rate and their private pay rate

Providers are allowed to charge registration fees

Providers are allowed to charge for transportation fees

Providers are allowed to charge for meals.

Providers are allowed to charge additional incidental fees such as field trips or supplies

Policies vary across region, counties and or geographic areas.

Describe:

No, providers may not charge parents any additional fees

Other.

Describe:

None

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

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

a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)):

*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. This is evidenced by the fact that of the potential pool of providers with which DES can contract for subsidized care, approximately 74 percent of the licensed centers and 87 percent of the certified group homes in Arizona have Registration Agreements with DES for reimbursement for care. Additionally, DES recruits and enters into a Registration Agreement with any small family child care home that meets health and safety regulations and is willing to contract with DES for the provision of care to eligible children. Therefore the centers and homes are available to provide care to children of eligible families.*

*As a result, families can and do have access to the vast majority of child care providers in the state. A further indication (that rates provide equal access) can be seen by the patterns of utilization of care across different types of providers. Currently, of all the children receiving CCDF child care through DES, 77 percent receive care in child care centers; 8 percent receive care in certified group; seven percent receive care in small family child care homes; and 8 percent receive care that is provided by unregulated relative providers.*

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

*For Licensed Child Care Centers, Certified Group Homes, and Certified Small Family Homes:*

*As stated above, Arizona has established individual maximum payment rates for a full range of providers, i.e., center, group home and home based care. 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 2.7.1.*

*The rates allow for the reimbursement of child care services at the actual cost of care (normal and customary charges), but not more than the maximum payment for categories of care in local areas. The six local areas are based upon their geographic proximity or common characteristics and are generally defined by the following counties:*

- District I - Maricopa*
- District II - Pima*
- District III - Apache, Coconino, Navajo, and Yavapai*
- District IV - La Paz, Mohave, and Yuma*
- District V - Gila and Pinal*
- District VI - Cochise, Graham, Greenlee and, Santa Cruz*

*In order to ensure that eligible children have equal access to comparable care, DES remains committed to working with Arizona's policy makers to continue to increase rates, and to improving the quality of child care provided. In 2006, the state legislature appropriated funding which allowed the maximum payment rates for child care services to be set at the 75<sup>th</sup> percentile of the 2000 Child Care Market Rate Survey, effective July 1, 2006. During the 2007 legislative session, funding was appropriated to increase all maximum payment rates by an additional five percent. Due to insufficient federal funding, limited state appropriations and increasing child care caseloads, further rate adjustments were not possible without reducing the number of families in the state receiving assistance. With the current economic situation affecting tax revenues, in early 2009, the legislature reduced the appropriation to the Lead Agency, which resulted in returning the maximum payment rates to the 75<sup>th</sup> percentile of the 2000 Market Rate Survey. Maximum payment rates have remained stable, at that level, since that time.*

*Summary results from the 2010 Survey are included in Attachment 2.7.4 and can be used to compare each of the state's 144 maximum payment rates to rates identified in the 2010 Survey.*

A comparison of the aggregate (non-weighted) current 144 maximum payment rates to the aggregate (non-weighted) 75<sup>th</sup> percentiles of the 2010 Survey shows that the current maximum payment rates are approximately 70 percent of the 2010 Survey 75<sup>th</sup> percentile.

For Unregulated Relative Providers

For unregulated relative providers (i.e., Non-Certified Relative Providers {NCRPs}) who provide care, a fixed rate of \$10.50 for full day and \$6.00 for part day has been established. The fixed rate is currently set at a level that is 70 percent of the average actual daily payment that was made to certified family child care homes in the spring of 2001. Experience with unregulated relatives who provide care indicates that they typically are not in the business of providing child care and do not have normal and customary charges for child care. Additionally, NCRPs are not required to meet any significant health and safety requirements that are required of certified family child care homes.

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

Family co-payments

The percentage of family income that would be used to meet its co-payment may vary depending on numerous factors such as family size and income, number and age of children in care, actual amount of care used, actual cost of care, extra charges, etc. Examples of this percentage and the assumptions used follow:

PARENTAL COPAYMENT AS A PERCENTAGE OF GROSS MONTHLY INCOME

Hourly Wage	Gross Monthly Income (GMI)	Fee Level	Monthly Child Care Cost	DES Payment	Parental Payment	Parental Payment as % of GMI
*7.35	\$1,264	1	\$1,408.00	\$1003.20	\$404.80	32%
7.64	1,314	1	1,408.00	1003.20	404.80	31%
7.65	1,315	2	1,408.00	959.20	448.80	34%
8.98	1,545	2	1,408.00	959.20	448.80	29%
8.99	1,546	3	1,408.00	915.20	492.80	32%
12.13	2,086	3	1,408.00	915.20	492.80	24%
12.14	2,087	4	1,408.00	827.20	580.80	28%
13.03	2,241	4	1,408.00	827.20	580.80	26%
13.04	2,242	5	1,408.00	739.20	668.80	30%
13.93	2,395	5	1,408.00	739.20	668.80	28%
13.94	2,396	6	1,408.00	607.20	800.80	33%
14.83	2,550	6	1,408.00	607.20	800.80	31%

\* Arizona minimum wage is \$7.35 per hour.

Assumptions

- Family Size is three, single parent working 40 hours per week, no other household income.
- Two children, ages three and four, in median cost center based care in Maricopa County.
- Median cost of center based care for children ages three to five is \$32.00 per day (per 2010 Child Care Market Rate Survey), no extra charges.
- Monthly child care cost: \$32.00 per day x 22 days per month x 2 children = \$1,408.00.

**DES payment calculations (based upon maximum state reimbursement rate of \$23.80/day minus applicable co-payment for each child)**

Fee Level 1 -  $(\$23.80 - 1.00 + 23.80 - 1.00) \times 22 = \$1003.20$   
Fee Level 2 -  $(\$23.80 - 2.00 + 23.80 - 2.00) \times 22 = \$ 959.20$   
Fee Level 3 -  $(\$23.80 - 3.00 + 23.80 - 3.00) \times 22 = \$ 915.20$   
Fee Level 4 -  $(\$23.80 - 5.00 + 23.80 - 5.00) \times 22 = \$ 827.20$   
Fee Level 5 -  $(\$23.80 - 7.00 + 23.80 - 7.00) \times 22 = \$ 739.20$   
Fee Level 6 -  $(\$23.80 - 10.00 + 23.80 - 10.00) \times 22 = \$ 607.20$

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access:

*n/a*

**2.7.10 Goals for the next Biennium -**

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). What are the Lead Agency's goals for the administration of the CCDF subsidy program in the coming Biennium? For example, what progress does the State/Territory expect to make on continuing improved services to parents and providers, continuity of care for children, improving outreach to parents and providers, building or expanding information technology systems, or revising rate setting policies or practices):

*Increase number/percent of providers submitting billing electronically.*  
*Increase number/percent of providers paid via direct deposit.*

## PART 3

### Health and Safety and Quality Improvement Activities

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

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

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

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety requirements so the State/Territory has few, if any, providers for whom they need to establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing. The State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers. (§98.40(b)(1)) Section 3.1 asks the State/Territory to identify and describe the components of both the licensing and CCDF health and safety requirements, indicate which providers are subject to the requirements, and describe compliance and enforcement activities. (658E(c)(2)(F), §98.41)

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

Lead Agencies shall certify that they have in effect licensing requirements applicable to

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

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

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

- Yes.
- No.

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

The Arizona Department of Health Services is responsible for the licensing of child care centers and for the certification of child care group homes. However, the Lead Agency, the Arizona Department of Economic Security, does maintain 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.

b) **Provide a brief overview** of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory. At a minimum, describe whether the State/Territory's licensing requirements serve as the CCDF health and safety requirements.

*Both the licensing requirements for child care centers as well as certification requirements for child care group homes, that are the responsibility of the Arizona Department of Health Services, serve as the CCDF health and safety requirements in Arizona. Similarly the certification requirements for small family child care homes (including in-home care) and policy and oversight requirements for non-certified relative providers, that are the responsibility of the Arizona Department of Economic Security, serve as the CCDF health and safety requirement for these categories of providers.*

c) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. Within each CCDF category of care, please identify which types of providers are exempt from licensing in your State/Territory in the chart below.

CCDF Category of Care	CCDF Definition (§98.2)	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?

Center-Based Child Care

Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.

Describe which types of center-based settings are exempt from licensing in your State/Territory.

For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs

*Certain settings are exempt by state statute from licensing and may be excluded from receiving subsidies by state statute. This includes situations in which care is given to children by or in:*

- The homes of parents or blood relatives;*
- a religious institution conducting a nursery in conjunction with its religious services or conducting parent-supervised occasional drop-in care;*
- a unit of the public school system, including specialized professional services provided by school districts for the sole purpose of meeting mandated requirements to address the physical and mental impairments;*
- a regularly organized private school engaged in an educational program which may be attended in substitution for public school;*
- any facility that provides training only in specific subjects, including dancing, drama, music, self-defense or religion;*
- tutoring provided by public schools solely to improve school performance;*
- any facility that provides only recreational or instructional activities to school age children who may enter and depart from the facility at their*

		<p><i>own volition; and, - any of the Arizona state schools for the deaf and the blind.</i></p> <p><i>Additionally, child care centers based on Tribal or military land would be exempt from state licensing/certification requirement but would be required to meet any applicable Tribal or military requirements and may be eligible to receive subsidies.</i></p>
<p>Group Home Child Care</p> <p>N/A. Check if your State/Territory does not have group home child care.</p> <p><input type="checkbox"/></p>	<p>Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.</p>	<p>Describe which types of group homes are exempt from licensing:</p> <p><i>Child care group homes based on Tribal or military land would be exempt from state licensing/certification requirement but would be required to meet any applicable Tribal or military requirements.</i></p>
<p>Family Child Care</p>	<p>Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. <b>Reminder</b> - Do not check if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p>Describe which types of family child care home providers are exempt from licensing:</p> <p><i>Family child care providers who care for fewer than five children for compensation at any one time. Such family child care providers must become certified by the Lead Agency or be blood relatives in order to participate in the CCDF program.</i></p> <p><i>Family home child care providers on Tribal or military land would be required to meet applicable Tribal or military requirements.</i></p>

In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. <b>Reminder</b> - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of in-home child care providers are exempt from licensing: <i>In-home child care providers. Such in-home providers must become certified by the Lead Agency or be blood relatives in order to participate in the CCDF program.</i>  <i>In-home family home child care providers on Tribal or military land would be required to meet applicable Tribal or military requirements.</i>
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**Note:** In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's:**



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

\*Source: National Resource Center for Health and Safety in Child Care and Early Education. (2003) Stepping Stones to Using Caring for Our Children: National Health and Safety Performance Standards, 2nd Ed. Health Resources and Services Administration, Maternal and Child Health Bureau. Available online: <http://nrckids.org/stepping>

Indicator	Center-Based Child Care	Group Home Child Care	Family Child Care	In-Home Care
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Do the licensing requirements include **child:staff ratios and group sizes**? If yes, specify age group, where appropriate:

<input checked="" type="checkbox"/> Child:staff ratio requirement:	<input checked="" type="checkbox"/> Child:staff ratio requirement:	<input checked="" type="checkbox"/> Child:staff ratio requirement:	<input type="checkbox"/> Child:staff ratio requirement:
Infants 1:5 or 2:11; 1-year-old children 1:6 or 2:13; 2-year-old children 1:8; 3-year-old children 1:13; 4-year-old children 1:15; 5-year-old children (not school-age) 1:20; School-age children 1:20	All ages 1:5 or 2:10	No more than two infants. No more than four children for compensation.	
<input type="checkbox"/> Group size requirement:	<input checked="" type="checkbox"/> Group size requirement:	<input checked="" type="checkbox"/> Group size requirement:	<input checked="" type="checkbox"/> Group size requirement:
	No more than 15 total.	<input type="checkbox"/> Group size requirement:	No more than 6 children
<input type="checkbox"/> No requirements.	<input type="checkbox"/> No requirements.	<input type="checkbox"/> No requirements.	<input type="checkbox"/> No requirements.

Do the licensing requirements identify specific experience and educational **credentials for child care directors?**

<input checked="" type="checkbox"/>	High school/GED	<input checked="" type="checkbox"/>	High school/GED	<input type="checkbox"/>	High school/GED
<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)	<input type="checkbox"/>	Child Development Associate (CDA)
<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential	<input type="checkbox"/>	State/ Territory Credential
<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree	<input type="checkbox"/>	Associate's degree
<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree	<input type="checkbox"/>	Bachelor's degree
<input type="checkbox"/>	No credential required for licensing	<input type="checkbox"/>	No credential required for licensing	<input checked="" type="checkbox"/>	No credential required for licensing
<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:	<input type="checkbox"/>	Other:

Do the licensing requirements identify specific experience and educational <b>credentials for child care teachers?</b>	<input checked="" type="checkbox"/> High school/GED	<input checked="" type="checkbox"/> High school/GED	<input type="checkbox"/> High school/GED	<input type="checkbox"/> High school/GED
	<input type="checkbox"/> Child Development Associate (CDA)	<input type="checkbox"/> Child Development Associate (CDA)	<input type="checkbox"/> Child Development Associate (CDA)	<input type="checkbox"/> Child Development Associate (CDA)
	<input type="checkbox"/> State/ Territory Credential	<input type="checkbox"/> State/ Territory Credential	<input type="checkbox"/> State/ Territory Credential	<input type="checkbox"/> State/ Territory Credential
	<input type="checkbox"/> Associate's degree	<input type="checkbox"/> Associate's degree	<input type="checkbox"/> Associate's degree	<input type="checkbox"/> Associate's degree
	<input type="checkbox"/> Bachelor's degree	<input type="checkbox"/> Bachelor's degree	<input type="checkbox"/> Bachelor's degree	<input type="checkbox"/> Bachelor's degree
	<input type="checkbox"/> No credential required for licensing	<input type="checkbox"/> No credential required for licensing	<input checked="" type="checkbox"/> No credential required for licensing	<input checked="" type="checkbox"/> No credential required for licensing
	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:
Do the licensing requirements specify that directors and caregivers must attain a specific number of <b>training hours per year?</b>	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year	<input type="checkbox"/> At least 30 training hours required in first year
	<input type="checkbox"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after first year	<input type="checkbox"/> At least 24 training hours per year after first year
	<input type="checkbox"/> No training requirement	<input type="checkbox"/> No training requirement	<input type="checkbox"/> No training requirement	<input type="checkbox"/> No training requirement
	<input checked="" type="checkbox"/> Other:	<input checked="" type="checkbox"/> Other:	<input checked="" type="checkbox"/> Other:	<input checked="" type="checkbox"/> Other:
	At least 18 training hours per year	At least 12 training hours per year	At least 6 training hours per year	At least 6 training hours per year

e) Do you expect the licensing requirements for child care providers to change in FY2012-2013?

Yes.

Describe: *The Arizona Department of Health Services has announced a timeline to revise the rule regarding child care group homes effective October 1, 2011.*

No.

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

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

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

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

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Tuberculosis check for providers				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tuberculosis check for children				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Provider immunizations				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Child immunizations				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Hand-washing policy for providers and children				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Diapering policy and procedures				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providers to submit a self-certification or complete health and safety checklist				
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements				
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other.				
Describe:				

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

<b>The Lead Agency requires:</b>	<b>Center-based child care providers</b>	<b>Family child care home providers</b>	<b>Group home child care providers</b>	<b>In-home child care providers</b>
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Safe sleep policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other.				
Describe:				

c) **Describe** the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3))

<b>CCDF Categories of Care</b>	<b>Health and safety training requirements</b>	Pre-Service	On-Going
<b>Child Care Centers</b>	CPR (Child Care Centers)	<i>n/a</i>	<i>At least one staff who is on-site must have current certification</i>
	First Aid (Child Care Centers)	<i>n/a</i>	<i>At least one staff who is on-site must have current certification</i>
	Training on infectious diseases (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	SIDS prevention (i.e., safe sleep) (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Medication administration (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Mandatory reporting of suspected abuse or neglect (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>

	Child development (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Supervision of children (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Behavior management (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Nutrition (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Breastfeeding (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Physical activity (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Working with children with special needs or disabilities (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>

	Emergency preparedness and response (Child Care Centers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Other. (Child Care Centers)	<i>n/a</i>	<i>n/a</i>
	Describe: <i>n/a</i>		
<b>Group Home Child Care</b>	CPR (Group Home Child Care)	<i>n/a</i>	<i>At least one staff who is on-site must have current certification</i>
	First Aid (Group Home Child Care)	<i>n/a</i>	<i>At least one staff who is on-site must have current certification</i>
	Training on infectious diseases (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	SIDS prevention (i.e., safe sleep) (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Medication administration (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Mandatory reporting of suspected abuse or neglect (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>

	Child development (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Supervision of children (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Behavior management (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Nutrition (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Breastfeeding (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Physical activity (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Working with children with special needs or disabilities (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>

	Emergency preparedness and response (Group Home Child Care)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for directors/caregivers</i>
	Other. (Group Home Child Care) Describe: <i>n/a</i>	<i>n/a</i>	<i>n/a</i>
<b>Family Child Care Providers</b>	CPR (Family Child Care Providers)	<i>Provider and back up must have current certification</i>	<i>Provider and back up must have current certification</i>
	First Aid (Family Child Care Providers)	<i>Provider and back up must have current certification</i>	<i>Provider and back up must have current certification</i>
	Training on infectious diseases (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	SIDS prevention (i.e., safe sleep) (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	Medication administration (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	Mandatory reporting of suspected abuse or neglect (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>

	Child development (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	Supervision of children (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	Behavior management (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	Nutrition (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	Breastfeeding (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	Physical activity (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	Working with children with special needs or disabilities (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>

	Emergency preparedness and response (Family Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider and backup provider</i>
	Other. (Family Child Care Providers) Describe: <i>Developmentally Appropriate Practice for family child care and child care business practices</i>	<i>For provider prior to certification</i>	<i>n/a</i>
<b>In-Home Child Care Providers</b>	CPR (In-Home Child Care Providers)	<i>Provider must have current certification</i>	<i>Provider must have current certification</i>
	First Aid (In-Home Child Care Providers)	<i>Provider must have current certification</i>	<i>Provider must have current certification</i>
	Training on infectious diseases (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	SIDS prevention (i.e., safe sleep) (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Medication administration (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Mandatory reporting of suspected abuse or neglect (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Child development (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>

	Supervision of children (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Behavior management (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Nutrition (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Breastfeeding (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Physical activity (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Working with children with special needs or disabilities (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Emergency preparedness and response (In-Home Child Care Providers)	<i>n/a</i>	<i>Training topic is included as an option in meeting yearly required hours of training for provider</i>
	Other. (In-Home Child Care Providers) Describe: <i>Developmentally Appropriate Practice for family child care and child care business practices</i>	<i>For provider prior to certification</i>	<i>n/a</i>

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

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

Describe the different requirements:

*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 described in sections 3.1.2a-c. These providers are referred to as Non-Certified Relative Providers (NCRP). Regardless if they care for children in their own home or the children's home, NCRPs are not subject to licensing. They are however, subject to health and safety requirements and these requirements are as are as follows:*

- *The NCRPs 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 NCRPs 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 NCRPs 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 NCRPs shall also be in compliance with state statutory fingerprint requirements.*

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

n/a

### **3.1.3 Enforcement of Licensing Requirements**

Each Lead Agency is required to provide a detailed description of the State/Territory's licensing requirements and how its licensing requirements are effectively enforced.

(658E(c)(2)(E), §98.40(a)(2)) The Lead Agency is also required to certify that that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with the applicable health and safety requirements.

(658E(c)(2)(G), §98.41(d))

**Describe the State/Territory's policies for effective enforcement of the licensing requirements using questions 3.1.3a through 3.1.3e below.** This description includes

whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

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

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

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:
<input checked="" type="checkbox"/> Group Home Child Care	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:	<input checked="" type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe:

<input checked="" type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year	<input type="checkbox"/> Once a Year
	<input type="checkbox"/> More than Once a Year	<input type="checkbox"/> More than Once a Year
	<input type="checkbox"/> Once Every Two Years	<input type="checkbox"/> Once Every Two Years
	<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Other.
	Describe: <i>Family child care homes are subject to three visits during their first year of certification, two visits per year thereafter, at least one per year is unannounced.</i>	Describe: <i>Family child care homes are subject to three visits during their first year of certification, two visits per year thereafter, at least one per year is unannounced.</i>
<input checked="" type="checkbox"/> In-Home Child Care	<input type="checkbox"/> Once a Year	<input type="checkbox"/> Once a Year
	<input type="checkbox"/> More than Once a Year	<input type="checkbox"/> More than Once a Year
	<input type="checkbox"/> Once Every Two Years	<input type="checkbox"/> Once Every Two Years
	<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Other.
	Describe: <i>Once a year when permission to do so is obtained from the child's parent.</i>	Describe: <i>Once a year when permission to do so is obtained from the child's parent.</i>

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

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

No.

<b>Licensing Procedures</b>	<b>Describe</b> which procedures are used by the State/Territory for enforcement of the licensing requirements.
-----------------------------	---

The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.



Yes.

Describe:

*For center-based and group home child care, four hours of training provided by the Arizona Department of Health Services' Office of Child Care Licensing (OCCL) are required prior to licensure.*



No.



Other.

Describe:

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



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



Licensing staff approve the plans of correction submitted by providers.



Licensing staff verify correction of violation.



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



No procedures in place.



Other.

Describe:

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

<input checked="" type="checkbox"/>	Provisional or probationary license
<input checked="" type="checkbox"/>	License revocation or non-renewal
<input type="checkbox"/>	Injunctions through court
<input checked="" type="checkbox"/>	Emergency or immediate closure not through court action
<input checked="" type="checkbox"/>	Fines for regulatory violations
<input type="checkbox"/>	No procedures in place.
<input type="checkbox"/>	Other.
Describe:	

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

<input type="checkbox"/>	Cease and desist action
<input type="checkbox"/>	Injunction
<input checked="" type="checkbox"/>	Emergency or immediate closure not through court action
<input checked="" type="checkbox"/>	Fines
<input type="checkbox"/>	No procedures in place.
<input type="checkbox"/>	Other.
Describe:	

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



Yes.

Describe:

*The Uniform Administrative Hearing Procedures are described in Title 41, Chapter 5, Article 10 (Arizona Revised Statutes § 41-1092)*



No.



Other.

Describe:

c) Describe what types of licensing violations, if any, would make a provider ineligible to participate in CCDF:

*Licensing violations that lead to the suspension, revocation or denial of a license or certification would make a provider ineligible to participate in CCDF.*

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

Yes.

If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency. Please **also provide a brief overview** of the State/Territory's process for conducting background checks for child care. For example, describe what types of violations would make providers ineligible for CCDF, funding for background checks, and the process for providers to appeal background check findings.

**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. A web-link to that statute is:*

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

*In most instances the individual applying for the fingerprint clearance card is responsible for paying for the associated cost.*

**Child Abuse Registry Checks**

*In Arizona, as a contracting requirement, any staff that provides direct care and serves CCDF funded children must complete a child abuse registry check conducted by the Arizona Department of Economic Security, Child Protective Services (CPS). (However, Child Abuse Registry checks are not a licensing requirement for center based or group home child care.)*

*As part of the substantiation process of an allegation of child abuse with CPS, 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 CPS 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.*

No.

CCDF Categories of Care	Types of Background Check	Frequency
-------------------------	---------------------------	-----------

<input checked="" type="checkbox"/> <b>Center-Based Child Care</b> <p>Who is subject to background checks for center-based care? For example, director, teaching staff, non-teaching staff, volunteers:</p> <p>The director, teaching staff, non-teaching 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. In addition, employees of center-based child care who participate in the CCDF are subject to child abuse registry background checks in accordance with A.R.S. § 8-804. This includes the director, teaching staff and non-teaching staff.</p>	<input checked="" type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Checks Conducted Annually
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Other.
	<input type="checkbox"/> Sex Offender Registry	Describe: <i>Child abuse registry checks are conducted upon initial contracting to provide services to CCDF eligible children and upon re-contracting.</i>
		<input type="checkbox"/> Initial Entrance into the System
	<input type="checkbox"/> Checks Conducted Annually	
	<input checked="" type="checkbox"/> Other.	
	Describe: <i>Fingerprint clearance cards (which include, a state criminal background check) are issued upon entrance into the system and are valid for six years. Additionally, cardholders are continually crosschecked against all arrests in Arizona. A card is suspended for an arrest for a prohibited offense.</i>	
	<input type="checkbox"/> Initial Entrance into the System	
	<input type="checkbox"/> Checks Conducted Annually	
	<input checked="" type="checkbox"/> Other.	

Describe:

*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.*

Initial Entrance into the System

Checks Conducted Annually

Other.

Describe:

<input checked="" type="checkbox"/> <b>Group Child Care Homes</b>  Who is subject to background checks for group homes? For example, provider, non-provider residents of the home: 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. In addition, employees of group child care homes who participate in the CCDF are subject to child abuse registry background checks in accordance with A.R.S. § 8-804. This includes the provider and staff.	<input checked="" type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System
	<input checked="" type="checkbox"/> State/Territory Criminal Background	<input type="checkbox"/> Checks Conducted Annually
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Other.
	<input type="checkbox"/> Sex Offender Registry	Describe: <i>Child abuse registry checks are conducted upon initial contracting to provide services to CCDF eligible children and upon re-contracting.</i>
		<input type="checkbox"/> Initial Entrance into the System
		<input type="checkbox"/> Checks Conducted Annually
	<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Other.
	<input type="checkbox"/> Describe: <i>Fingerprint clearance cards (which include, a state criminal background check) are issued upon entrance into the system and are valid for six years. Additionally, cardholders are continually crosschecked against all arrests in Arizona. A card is suspended for an arrest for a prohibited offense.</i>	Describe: <i>Fingerprint clearance cards (which include, a state criminal background check) are issued upon entrance into the system and are valid for six years. Additionally, cardholders are continually crosschecked against all arrests in Arizona. A card is suspended for an arrest for a prohibited offense.</i>
	<input type="checkbox"/> Initial Entrance into the System	<input type="checkbox"/> Initial Entrance into the System
	<input type="checkbox"/> Checks Conducted Annually	<input type="checkbox"/> Checks Conducted Annually
	<input checked="" type="checkbox"/> Other.	<input checked="" type="checkbox"/> Other.

Describe:

*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.*

Initial Entrance into the System

Checks Conducted Annually

Other.

Describe:

<input checked="" type="checkbox"/> <b>Family Child Care Homes</b> Who is subject to background checks for family child care homes? For example, provider, non-provider residents of the home: The family child care home provider, adult non-provider residents and back up provider are subject to background checks. In addition, noncertified relative child care providers are also subject to background checks. See A.R.S. § 46-801.	<input checked="" type="checkbox"/> Child Abuse Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other.
	<input checked="" type="checkbox"/> State/Territory Criminal Background	Describe: <i>A child abuse registry check is conducted upon entrance into the system and then annually thereafter.</i>
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other.
	<input type="checkbox"/> Sex Offender Registry	Describe: <i>Fingerprint clearance cards (which include, a state criminal background check) are issued upon entrance into the system and are valid for six years. Additionally, cardholders are continually crosschecked against all arrests in Arizona. A card is suspended for an arrest for a prohibited offense.</i>

Describe:

*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.*

Initial Entrance into the System

Checks Conducted Annually

Other.

Describe:

<input checked="" type="checkbox"/> <p><b>In-Home Child Care Providers</b></p>	<input checked="" type="checkbox"/> <p>Child Abuse Registry</p>	<input type="checkbox"/> <p>Initial Entrance into the System</p>
<p>Who is subject to background checks for in-home child care? For example, provider, non-provider residents of the home:</p>		<input type="checkbox"/> <p>Checks Conducted Annually</p>
<p>The in-home child care home provider is subject to a background check. In addition, the noncertified relative in-home child care providers are also subject to background checks. See A.R.S. § 46-801.</p>	<input checked="" type="checkbox"/> <p>State/Territory Criminal Background</p>	<input checked="" type="checkbox"/> <p>Other.</p>
		<p>Describe:</p> <p><i>A child abuse registry check is conducted upon entrance into the system and then annually thereafter.</i></p>
	<input checked="" type="checkbox"/> <p>FBI Criminal Background (e.g., fingerprint)</p>	<input type="checkbox"/> <p>Initial Entrance into the System</p>
		<input type="checkbox"/> <p>Checks Conducted Annually</p>
	<input type="checkbox"/> <p>Sex Offender Registry</p>	<input checked="" type="checkbox"/> <p>Other.</p>
		<p>Describe:</p> <p><i>Fingerprint clearance cards (which include, a state criminal background check) are issued upon entrance into the system and are valid for six years. Additionally, cardholders are continually crosschecked against all arrests in Arizona. A card is suspended for an arrest for a prohibited offense.</i></p>
		<input type="checkbox"/> <p>Initial Entrance into the System</p>
		<input type="checkbox"/> <p>Checks Conducted Annually</p>
		<input checked="" type="checkbox"/> <p>Other.</p>

		<p>Describe:</p> <p><i>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.</i></p> <p><input type="checkbox"/></p> <p>Initial Entrance into the System</p> <p><input type="checkbox"/></p> <p>Checks Conducted Annually</p> <p><input type="checkbox"/></p> <p>Other.</p> <p>Describe:</p>
--	--	---

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

*n/a*

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

Yes.

Describe:

*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' (DHS) Office of Child Care Licensing offers information on-line on currently licensed/certified facilities. The DHS also offers the ability to review paper files on licensed centers and certified child care group homes at local offices throughout the state. Paper files are also available for review at local offices of the Arizona Department of Economic Security's (DES) Child Care Administration for DES certified homes.*

No.

**3.1.4 Describe the State/Territory's policies for effective enforcement of the CCDF health and safety requirements.** For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described above for licensed providers, please describe the health and safety enforcement measures in place. Include in this description whether and how the State/Territory uses on-site visits (announced and unannounced) and background checks and any other enforcement policies and practices for the health and safety requirements.

*Not applicable, all providers who care for children receiving CCDF assistance are subject to the enforcement procedures described above.*

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

Yes.

Describe

*Arizona's quality rating and improvement system, Quality First, incorporates developmental screening and referral for children in its Points Scale in the domain of Curriculum and Assessment. The highest standard in this category states that: "Additional child assessment strategies include developmental and sensory screening activities (either provided directly or arranged by the provider) and, when necessary, families are referred to appropriate health or intervention agencies."*

*First Things first directly funds developmental and health screening of young children in selected areas of Arizona, some of which support screening activities within early care and education programs.*

*Additionally, Arizona has recently revised and released its Program Guidelines for High Quality Early Education: Birth through Kindergarten. For more information see:  
[http://www.azftf.gov/WhoWeAre/Board/Documents/Program%20Committee/10\\_27\\_10%20Meeting%20Materials/14%20-%20Program%20Guidelines%20FINAL%20Version.pdf](http://www.azftf.gov/WhoWeAre/Board/Documents/Program%20Committee/10_27_10%20Meeting%20Materials/14%20-%20Program%20Guidelines%20FINAL%20Version.pdf)*

*These guidelines include the following indicator within the section on Program Policies: "Assessment strategies include developmental screening activities. In the event that systematic monitoring of a child's development indicates the possible need for further evaluation, families are referred to the appropriate health, education, or intervention agency." Screening is also addressed in the Health and Nutrition section, indicating that programs assist families to obtain information about developmental and health screening and follow up with families after screening activities to determine follow up services needed.*

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

Yes.

Describe

*Programs are required to have training in the Early Standards, the Infant-Toddler Developmental Guidelines and the Program Guidelines for High Quality Early Education (mentioned above). Arizona utilizes its State Advisory Council for Early Childhood grant funding to provide statewide training to all Quality First participants. In addition, Quality First Coaches receive intensive training in these standards and guidelines in order to provide in-depth mentoring and coaching to implement them.*

*First Things First also funds an inclusion coaching strategy in several areas in Arizona which promotes inclusion of children with special needs in high quality early childhood programs. Inclusion specialists assist programs to observe for developmental concerns, conduct developmental screening using standardized tools, follow through with referrals for further assessment and services, and take appropriate action to meet the needs of the children within the typical early childhood environment.*

No

Other.

Describe

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

Yes.

Describe

*In addition to the inclusion coaching that is available for some early childhood programs in the state, First Things First funds parent and provider outreach and education within communities which address the resources and supports that are available once children are screened and it is determined that follow up assessment and treatment may be needed.*

No

Other.

Describe

No

Other.

Describe

### 3.1.6 Data & Performance Measures on Licensing and Health and Safety

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

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

Number of licensed programs.

Describe (optional):

Numbers of programs operating that are legally exempt from licensing.

Describe (optional):

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

Describe (optional):

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

Describe (optional):

Number of monitoring visits received by programs.

Describe (optional):

Caseload of licensing staff.

Describe (optional):

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

Describe (optional):

Other.

Describe:

None.

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

*n/a*

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

*n/a*

**3.1.7 Goals for the next Biennium** - In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each sub-section of 3.1. What are the Lead Agency's goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)

*The Lead Agency will continue to support, coordinate and collaborate with the Arizona Department of Health Services in identifying areas in need of improvement and aiding in support of licensing improvements.*

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

For purposes of this section, voluntary early learning guidelines include the expectations for what children should know (content) and be able to do (skills). The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants

and toddlers and school-age children. These guidelines are voluntary in that States/Territory are not mandated to develop such guidelines or implement them in a specified manner.

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

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

If yes, insert web addresses, where possible:

<http://www.ade.az.gov/earlychildhood/downloads/EarlyLearningStandards.pdf>

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

Arizona Department of Education

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

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social and emotional development	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Approaches to learning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Language development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Literacy knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mathematics knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Science knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Social studies knowledge and skills	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
English language development (for dual language learners)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe: <b>Approaches to learning and logic and reasoning (e.g., problem solving) which are addressed within the social and emotional domain.</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

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

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

Other. List: <i>Institutes of Higher Education; IDEA Preschool; Career and Technical Education Early Childhood Educators; Home Visitors; and Quality First Coaches (for more information on Quality coaches see: <a href="http://www.azftf.gov/WhatWeDo/Programs/QualityFirst/Pages/CoachesYourPartnerinImprovingQuality.aspx">http://www.azftf.gov/WhatWeDo/Programs/QualityFirst/Pages/CoachesYourPartnerinImprovingQuality.aspx</a>)</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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**3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system?** Check which ways, if any, the State/Territory incorporates its early learning guidelines into other parts of the child care system.

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

**3.2.5 Are voluntary early learning guidelines aligned with into other parts of the child care system?** Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

- Cross-walked to align with Head Start Outcomes Framework
- Cross-walked to align with K-12 content standards
- Cross-walked to align with State/Territory pre-k standards
- Cross-walked with accreditation standards

Other.

List:

*The Early Childhood Programs in Career and Technical Education, the requirements for Teacher Certification in Early Childhood Education and Early Childhood Special Education.*

None.

**3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions.** In this section, assessment is framed with two distinct purposes/tools - 1) ongoing assessment of children's progress within the classroom to improve and individualize instruction (this corresponds to 3.2.6a) and 2) assessments conducted at kindergarten entry to inform policymakers about the school readiness of children across the State on a broad range of domains, used to guide program initiatives (this corresponds to 3.2.6b).

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

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

Yes.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

No

Other.

Describe:

*This is a requirement for state funded preschool programs, IDEA Preschool and those participating in Quality First Initiative. Almost all Head Start Programs are moving to the single assessment tool.*

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

Yes.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

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

All children.

Describe:

Samples of children.

Describe:

Other.

Describe:

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

Yes.

Describe:

No

Other.

Describe:

No

Other.

Describe:

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

Yes.

Describe:

No

Not applicable. State does not have an SLDS.

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

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

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

Describe (optional):

*Data is collected on an annual basis, not cumulatively.*

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

Describe (optional):

*Data is collected on an annual basis, not cumulatively.*

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

Describe (optional):

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

Describe (optional):

Other.

Describe:

None.

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

*n/a*

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

*n/a*

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

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

*To document an increase in the number of providers who are trained in the early learning standards.*

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

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

*The principal entity involved in development and management of the Quality Improvement and Rating System (QIRS) is the Arizona Board of Early Child Development and Health, also known as First Things First. The QIRS is called Quality First. Quality First includes a variety of quality improvement activities.*

*DES, the Lead Agency, administers a number of quality improvement activities as do the state's child care licensing entity, the Arizona Department of Health Services' Office of Child Care Licensure and the Arizona Department of Education.*

### 3.3.1 Element 1 - Program Standards

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

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

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

Describe:

*Programs participating in Quality First are assessed, in part, using appropriate Environmental Rating Scales and the Classroom Assessment Scoring System (CLASS™). The Arizona Early Learning Standards are used to plan curriculum. The Guidelines for Comprehensive Early Education Programs (sometimes referred to as the "Red Book") is used by coaches to assess community relations, administration and management and use of developmental screenings.*

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

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

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

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

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

Describe:

Not linked.

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

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

Other.

Describe:

None.

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

**Definition** - For purposes of this section, supports to programs to improve quality refers

to such activities as technical assistance and consultation services for programs to assist in meeting child care quality improvement standards.

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

None. **skip to 3.3.3.**

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

Other. Describe:			
<i>Early Learning Standards, teacher-child interactions, instructional practice</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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

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

Describe:

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

- Yes.

Describe:

*At a minimum, programs that enter with lower ratings receive technical assistance automatically.*

- No
- Other.

Describe:

### 3.3.3 Element 3 - Financial Incentives and Supports

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

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

- None. **skip to 3.3.4.**

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers

<input checked="" type="checkbox"/> Grants to programs to meet or maintain licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> On-going, periodic grants or stipends tied to maintaining quality	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Other.

Describe:



*In conjunction with QRIS (Quality First) and in addition to the financial incentives and supports described above, First Things First provides a limited number of child care providers with funds to provide child care scholarships (financial help for families with children, birth through age five, and with incomes up to 200 percent of the Federal Poverty Guidelines). These funds provide more sustainable funding for providers as part of a comprehensive financing model for the early care and education system. Child care scholarships are defined as payments to an early childhood provider, either center- or family-based, for the full or partial cost of care based on formula funding using data from the Child Care Market Rate Survey. Providers must meet certain criteria in order to be eligible to receive these funds. These scholarships offer a reliable source of income that contributes to the financial stability of regulated providers and allows them to remain operational. With improved financial stability, centers and homes have the increased ability to maintain staff which contributes to the stability of the environment and quality of care to enrolled children. Scholarships also play a strong role in achieving and maintaining high quality care and education.*

**Note: For all “Types of Financial Incentives and Supports for Programs” in the above boxes, License-Exempt Providers include facilities that are regulated by Tribal or military authority.**

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

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

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

None. **skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. <input type="text" value="At a minimum, every other year"/>	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input type="checkbox"/> School-Age	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/> Classroom Assessment Scoring System (CLASS)  Describe, including frequency of assessments. <input type="text" value="Yearly, but only for select programs that score over three on the ERS"/>	<input checked="" type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
<input type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes  Describe, including frequency of assessments. <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input checked="" type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs Describe, including frequency of assessments. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><i>The final quality rating tool is currently under development, as is the decision about the frequency of assessment. Likely measures will include child/adult ratio, group size, staff qualifications, and curriculum assessment.</i></p> <p><i>Note: For all "Types of Program Quality Assessment Tools" in the above boxes, License-Exempt Providers include facilities that are regulated by Tribal or military authority.</i></p> </div>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> Other. Describe: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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

None.

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

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

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

Yes. If yes, how is it used?

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

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

Searchable database on the web

Voluntarily, visibly posted in programs

Mandatory to post visibly in programs

Used in marketing and public awareness campaigns

Other.

Describe:

*A five star rating system will be piloted in 2011, but details about specific outreach and consumer education strategies are pending at the time this plan was written.*

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

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

Print

Radio

Television

Web

Telephone

Social Marketing

Other.

Describe:

None.

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

*n/a*

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

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

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

Participation is voluntary for:

Participation is mandatory for:

Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements operating as a pilot or in a few localities but

not State/Territory-wide.

No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.

State/Territory is in the development phase

State/Territory has no plans for development

Other.

Describe:

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

Child care centers

Group child care homes

Family child care homes

In-home child care

License exempt providers

Early Head Start programs

Head Start programs

Pre-kindergarten programs

School-age programs

Other.

Describe:

**3.3.7. If the State/Territory has or will have any quality improvement strategies for targeted groups of providers (e.g., relative caregivers or caregivers who are legally exempt from licensing) that are not described in your responses to any question in section 3.3 above,**

**please describe:**

*First Things First makes quality improvement activities available for child care provided by “kith and kin” (friends and family) child care providers, caring for the children of friends and family members, who are, for the most part, unregulated and untrained. The activities are provided through the Arizona Kith and Kin Project which uses two different models to provide support and training to kith and kin providers. In some instances, home visits (delivered one-on-one in participant’s homes) are offered in addition to the support-training groups that meet weekly for fourteen weeks. The objectives of the Kith and Kin Project are to:*

- *Provide early childhood training and support to kith and kin child care providers;*
- *Increase the kith and kin provider’s knowledge of the elements of quality care and of available community training and support resources; and*
- *Increase the kith and kin provider’s perceptions of the reliability and quality of the child care they provide and their level of satisfaction with being child care providers.*

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

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



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

Describe:

*First Things First will maintain a database of individual program quality levels on a five star scale once the pilot phase is complete.*



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

Describe:

*First Things First will maintain a database of individual programs that includes quality level changes.*



Program scores on program assessment instruments.

List instruments:

*ITERS, ECERS, FCCRS, CLASS and state specific measures still in development.*

Describe:

*n/a*



Classroom scores on program assessment instruments.

List instruments:

Describe:



Qualifications for teachers or caregivers within each program.

Describe:



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

Describe:



Number/percentage of children receiving CCDF assistance who attend care at each of the tiers of the quality as defined by the State/Territory



Number/Percentage of programs receiving financial assistance to meet higher program standards.

Describe:

*First Things First will maintain a database of individual programs that includes data on financial assistance to meet higher standards.*



Other.

Describe:



None.

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

*n/a*

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

*An external evaluation is being conducted by a consortium of the three state universities to determine child and system outcomes for Quality First.*

### 3.3.9 Goals for the next Biennium -

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

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

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

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

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

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

*DES, the Lead Agency, plans and administers professional development systems and workforce initiatives in collaboration with the Arizona Department of Education, Arizona Department of Health Services and Arizona Board of Child Development and Health (First Things First).*

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

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

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

Yes

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

Other.

Describe:

*Arizona developed core competencies in the context of a professional development registry, but the program was eliminated in 2009 due to budget considerations. It is hoped that a child care professional development registry may be put into place in the context of a professional development systems as funding allows.*

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

Child growth, development and learning

Health, nutrition, and safety

Learning environment and curriculum

Interactions with children

Family and community relationships

Professionalism and leadership

Observation and assessment

Program planning and management

Diversity

Other.

Describe:

None.

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

To define the content of training required to meet licensing requirements

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

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

To correspond to the early learning guidelines

To define curriculum and degree requirements at institutions of higher education

Other.

Describe:

None.

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

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

Describe:

- None.

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

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

Describe:

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

Describe:

- Administrators in centers (including educational coordinators, directors).

Describe:

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

Describe:

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

Describe:

Other.  
Describe:

None.

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

Birth-to-three  
 Three-to-five  
 Five and older  
 Other.  
Describe:

None.

### 3.4.2 Workforce Element 2 - Career Pathways

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

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

Yes.

Describe:

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

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

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

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

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

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

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

Other.  
Describe:

None.

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

- Infants and toddlers
- Preschoolers
- School-age children

- Dual language learners
- Children with disabilities, children with developmental delays, and children with other special needs
- Other.

Describe:

- None.

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

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

Describe:

- None.

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

- Yes.

If yes, describe:

- No.

### 3.4.3 Workforce Element 3 - Professional Development Capacity

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

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

Yes.

If yes, describe:

*A task of the T.E.A.C.H. Arizona scholarship program, initiated in 2008, has been to identify and recruit the higher education institutions in the state which offer degree programs in early childhood education. These include three technical schools/colleges which are run by Tribal governments in Arizona. Currently, 19 colleges in Arizona, located in all areas of the state, have early childhood degrees and T.E.A.C.H. has Memorandums of Understanding (MOUs) with 18 of them.*

No.

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

Yes.

If yes, describe:

*DES 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);*
- 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 DES Child Care Administration or any other source.*

*The coordinating contractors are thus contractually required to continually assess 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.*

No.

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

- Standards set by the institution
- Standards set by the State/Territory higher education board
- Standards set by program accreditors
- Other.

Describe:

None.

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

Training approval process.

Describe:

Trainer approval process.

Describe:

Training and/or technical assistance evaluations.

Describe:

Other.

Describe:

None.

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

Yes.

If yes, describe:

No.

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

Yes.

If yes, describe:

No.

### 3.4.4 Workforce Element 4 - Access to Professional Development

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

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

Yes. If yes, for which sectors?

Child care

Head Start/Early Head Start

Pre-Kindergarten

Public schools

Early intervention/special education

Other.

Describe:

No.

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

Yes.

If yes, describe:

*The Child Care Resource & Referral (CCR&R) service offers information on professional development opportunities. Information is available to all providers via quarterly newsletter. CCR&R newsletters are mailed and available on-line. CCDF funded trainings must be listed in the newsletter. There is no charge for the newsletter.*

No.

<http://azchildcare.org>

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

Scholarships.

Describe:

*The Professional Career Pathway Project (PCPP) offers scholarships for tuition for early childhood education classes offered at community colleges throughout Arizona. For more information, see:*

*[www.centralaz.edu/Home/Academics/DivisionsandPrograms/EarlyCareandEducation\\_Program/PCPP.htm](http://www.centralaz.edu/Home/Academics/DivisionsandPrograms/EarlyCareandEducation_Program/PCPP.htm).*

*Arizona also has scholarships available through a Teacher Education And Compensation Helps (T.E.A.C.H.) program. For more information, see: [www.asccaz.org/teachaz.htm](http://www.asccaz.org/teachaz.htm)*

Free training and education.

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). Trainings are typically offered during weekends or evenings to accommodate the schedules of child care providers. All CCDF funded public training is included in CCR&R newsletters. Some training is delivered on-site to the staff of a specific child care facility and is not open to the public.*

Reimbursement for training and education expenses.

Describe:

*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.*

Grants.

Describe:

*Quality First Program Improvement grants currently range from a maximum of \$3,500/year for family child care homes to \$15,000/year for large centers. For more information, see: [www.azfff.gov/WhatWeDo/Programs/QualityFirst/Pages/FinancialIncentivesPlan.aspx](http://www.azfff.gov/WhatWeDo/Programs/QualityFirst/Pages/FinancialIncentivesPlan.aspx)*

Loans.

Describe:

Loan forgiveness programs.

Describe:

Substitute pools.

Describe:

Release time.

Describe:

*The TEACH program in Arizona subsidizes release time for scholarship recipients.*

Other.

Describe:

None.

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

Yes.

If yes, describe:

No.

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

Yes.

If yes, describe:

*DES, the Lead Agency, contracts with a variety of organizations to provide technical assistance (TA) to the child care workforce. TA is provided on-site as well as by phone or email by individual specialists.*

*DES 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.*

*First Things First's offers a variety of coaches and consultant services such as:*

- 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 (CCHC) is a health professional, often a registered nurse, who has specialized training and experience with young children, and provides consultation to child care providers. CCHC's assist child care providers in achieving standards related to the health and safety of children in their care. CCHC's 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, available in certain areas, 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.*

No.

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

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

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

Yes.

If yes, describe:

No.

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

Yes.

If yes, describe:

*First Things First funds the Professional REWARD\$ program. This statewide 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. To qualify, participants must:*

- *Be at least 18 years of age*
- *Have a high school diploma, GED certificate or a college degree in early childhood or a related field*
- *Have completed a minimum of six credit hours of college coursework in Early Childhood Education, Early Childhood Special Education, or Child Development with a grade of C or better*
- *Work 30 hours per week (teachers, assistant teachers and family child care providers must work directly with children ages birth to five years)*
- *Have worked a minimum of one year of continuous employment at their current place of employment*
- *Earn \$20 or less per hour, and*
- *Be employed at an eligible child care program.*

*In addition, the Arizona TEACH model offers a bonus or a raise for completion of an educational program.*

No.

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

Yes.

If yes, describe:

*The Professional REWARD\$ program*

No.

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

Yes.

If yes, describe:

No.

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

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

Data on the size of the child care workforce.

Describe (optional):

Data on the demographic characteristics of practitioners or providers working directly with children.

Describe (optional):

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

Retention rates.  
Describe (optional):

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

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

Number of scholarships awarded .  
Describe (optional):

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

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

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

Data on degree completion or attrition rates.

Describe (optional):

Other.  
Describe:

None.

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

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

Yes.

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

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

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

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

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

Describe:

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

Other.  
Describe:

None.

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

- all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?  
 all practitioners working in programs that receive public funds to serve children birth to age 13?  
 No.

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

*n/a*

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

*n/a*

### 3.4.7 Goals for the next Biennium -

In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not

required to establish a goal for each sub-section in 3.4. What are the State/Territory's goals for the building the professional development system and improving conditions for the workforce in the coming biennium? What progress does the State/Territory expect to make across the five key elements for the workforce and professional development system described above?

***Identify a funding source for, and plan the development and implementation of, a database to track the professional development of individual child care providers.***



**CHILD CARE AND DEVELOPMENT FUND (CCDF) PLAN**

**FOR**

**ARIZONA**

**FFY 2012-2013**

**ATTACHMENT 2.4.1**

**SLIDING FEE SCALE**

**Attachment 2.4.1**

**ARIZONA DEPARTMENT OF ECONOMIC SECURITY  
CHILD CARE ASSISTANCE GROSS MONTHLY INCOME ELIGIBILITY CHART AND FEE SCHEDULE**

EFFECTIVE JULY 1, 2011

<b>Family Size ↓</b>	<b>FEE LEVEL 1 (L1) INCOME MAXIMUM EQUAL TO OR LESS THAN 85% FPL*</b>	<b>FEE LEVEL 2 (L2) INCOME MAXIMUM EQUAL TO OR LESS THAN 100% FPL*</b>	<b>FEE LEVEL 3 (L3) INCOME MAXIMUM EQUAL TO OR LESS THAN 135% FPL*</b>	<b>FEE LEVEL 4 (L4) INCOME MAXIMUM EQUAL TO OR LESS THAN 145% FPL*</b>	<b>FEE LEVEL 5 (L5) INCOME MAXIMUM EQUAL TO OR LESS THAN 155% FPL*</b>	<b>FEE LEVEL 6 (L6) INCOME MAXIMUM EQUAL TO OR LESS THAN 165% FPL*</b>
1	0 – 772	773 – 908	909 – 1,226	1,227 – 1,317	1,318 – 1,408	1,409 – 1,499
2	0 – 1,043	1,044 – 1,226	1,227 – 1,656	1,657 – 1,778	1,779 – 1,901	1,902 – 2,023
3	0 – 1,314	1,315 – 1,545	1,546 – 2,086	2,087 – 2,241	2,242 – 2,395	2,396 – 2,550
4	0 – 1,584	1,585 – 1,863	1,864 – 2,516	2,517 – 2,702	2,703 – 2,888	2,889 – 3,074
5	0 – 1,854	1,855 – 2,181	2,182 – 2,945	2,946 – 3,163	3,164 – 3,381	3,382 – 3,599
6	0 – 2,125	2,126 – 2,500	2,501 – 3,375	3,376 – 3,625	3,626 – 3,875	3,876 – 4,125
7	0 – 2,396	2,397 – 2,818	2,819 – 3,805	3,806 – 4,087	4,088 – 4,368	4,369 – 4,650
8	0 – 2,666	2,667 – 3,136	3,137 – 4,234	4,235 – 4,548	4,549 – 4,861	4,862 – 5,175
9	0 – 2,937	2,938 – 3,455	3,456 – 4,665	4,666 – 5,010	5,011 – 5,356	5,357 – 5,701
10	0 – 3,208	3,209 – 3,773	3,774 – 5,094	5,095 – 5,471	5,472 – 5,849	5,850 – 6,226
11	0 – 3,478	3,479 – 4,091	4,092 – 5,523	5,524 – 5,932	5,933 – 6,342	6,343 – 6,751
12	0 – 3,749	3,750 – 4,410	4,411 – 5,954	5,955 – 6,395	6,396 – 6,836	6,837 – 7,277

**MINIMUM REQUIRED CO-PAYMENTS**

<b>Per child in care</b>	<b>full day =\$1.00 part day =\$0.50</b>	<b>full day =\$2.00 part day =\$1.00</b>	<b>full day =\$3.00 part day =\$1.50</b>	<b>full day =\$5.00 part day =\$2.50</b>	<b>full day =\$7.00 part day =\$3.50</b>	<b>full day =\$10.00 part day =\$5.00</b>
------------------------------	--	--	--	--	--	---

For families receiving Transitional Child Care (TCC) there is no co-pay assigned beyond the 3<sup>rd</sup> child in the family

Full day = Six or more hours; Part day = Less than six hours.

Families receiving Child Care Assistance based on Child Protective Services/Foster Care, the Jobs Program or those who are receiving Cash Assistance (CA) and are employed, may not have an assigned fee level and may not have a minimum required co-payment. However, all families may be responsible for charges above the minimum required co-payments if a provider's rates exceed allowable state reimbursement maximums and/or the provider has other additional charges.

Federal Poverty Level (FPL) =US DHHS 2011 poverty guidelines. The Arizona state statutory limit for child care assistance is 165% of the Federal Poverty Level.



**CHILD CARE AND DEVELOPMENT FUND (CCDF) PLAN**

**FOR**

**ARIZONA**

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**ATTACHMENT 2.6.1**

**CERTIFICATE OF AUTHORIZATION (example)**

**ATTACHMENT 2.6.1.**

CHILD CARE OFFICE  
STREET ADDRESS  
CITY, STATE ZIP

ARIZONA DEPARTMENT OF  
ECONOMIC SECURITY  
CHILD CARE ADMINISTRATION

CERTIFICATE OF AUTHORIZATION

PROVIDER NAME  
STREET ADDRESS  
CITY, STATE ZIP

LOCATIONAL ADDRESS:  
STREET ADDRESS  
CITY, STATE ZIP

PROVIDER PHONE NUMBER: 000-000-0000

CLIENT NAME  
STREET ADDRESS  
CITY, STATE ZIP

CLIENT ID: 0000000000  
DATE: MM/DD/YYYY

CHILD CARE WORKER: (SPECIALIST NAME)

TELEPHONE: 000-000-0000

-----  
THE FOLLOWING CHILD CARE SERVICES ARE AUTHORIZED FOR THE ABOVE PROVIDER:

ACT CODE	CHILD ID	CHILD NAME	SVC	BIRTH DATE	START DATE	STOP DATE	FEE KIND	LVL	UNIT	PROG	CO-PAY PER-DAY
O	0000000002	(CHILD NAME)	LC	MM/DD/YY	MM/DD/YY	MM/DD/YY	D	L1	23	B	1.00
O	0000000002	(CHILD NAME)	LC	MM/DD/YY	MM/DD/YY	MM/DD/YY	L	L1	23	B	.50

WHEN THE COPAYMENT FOR AN INDIVIDUAL CHILD EQUALS OR EXCEEDS THE DES PAYMENT TO THE CHILD CARE PROVIDER, NO DES PAYMENT WILL BE MADE FOR THAT CHILD.  
SEE BACK FOR DEFINITIONS.

*(Example - Front)*

If you have questions about the start and end dates of service, # of units or copayment assigned, or if you want to report that a client is not using services, or is not paying the assigned copayment, contact the Child Care Specialist at the office number listed on this notice.

If you have questions about completion of a billing document, or the processing or receipt of payments, contact the DES Payment Processing Unit at 602-542-5610 (if calling from Maricopa County) or 1-877-822-2322 X 2 (if calling from outside Maricopa County).

ACT  
CODE = ACTION CODES

O - OPEN  
C - CHANGE (MAY INCLUDE  
CHANGES IN UNITS,  
CO-PAY, DATES OF  
AUTHORIZATIONS OR  
CASE MANAGER)  
X - CANCEL (AUTHORIZATIONS  
MADE IN ERROR)

SVC = SERVICE CODES

LC - CENTER  
SN - SPECIAL NEEDS  
CG - DHS GROUP HOME  
CH - DES CERTIFIED HOME  
CI - DES CERTIFIED IN-HOME  
RH - RELATIVE HOME (NON-CERTIFIED)  
RI - RELATIVE IN-HOME (NON-CERTIFIED)

KIND

D - SIX OR MORE HOURS  
L - LESS THAN SIX HOURS

PROG = CHILD CARE PROGRAM

A - MAXIMUS  
B - BLOCK GRANT  
E - CASH ASSISTANCE EMPLOYED  
J - JOBS  
T - TRANSITIONAL

CO-PAY PER DAY = THE DES REQUIRED CO-PAY

NOTE: Any co-payment indicated is the required amount by DES guidelines. However, any family may be responsible for charges above these copayments if a provider's rates exceed state reimbursement maximums and/or the provider has other additional charges.

CLIENT APPEAL RIGHTS:

You have the right to appeal a decision on your eligibility if you believe that services should not have been reduced, stopped or denied. Contact you local DES Child Care office for information on filing an appeal.

*(Example - Back)*



**CHILD CARE AND DEVELOPMENT FUND (CCDF )PLAN**

**FOR**

**ARIZONA**

**FFY 2012-2013**

**ATTACHMENT 2.7.1**

**PAYMENT RATES FOR CHILD CARE SERVICES**

**ARIZONA DEPARTMENT OF ECONOMIC SECURITY**  
**Division of Employment & Rehabilitation Services**  
**Child Care Administration**

**MAXIMUM REIMBURSEMENT RATES FOR CHILD CARE**  
Based on the 75<sup>th</sup> percentile of 2000 Child Care Market Rate Survey  
(effective for services provided on or after 4/1/09)

**CENTERS**

Age Group	District I	District II	District III	District IV	District V	District VI
<b>Birth &lt; 1 yr:</b>						
Full day	30.20	27.00	22.40	21.00	30.00	32.00
Part day	22.40	19.80	18.40	19.00	25.00	25.00
<b>1 yr &lt; 3 yrs:</b>						
Full day	26.60	25.00	20.80	19.00	28.00	20.80
Part day	20.00	18.16	18.00	18.00	15.00	17.60
<b>3 yrs &lt; 6 yrs:</b>						
Full day	23.80	22.09	20.00	18.00	20.00	19.00
Part day	17.00	16.00	15.00	16.00	12.40	13.00
<b>6 yrs &lt; 13 yrs:</b>						
Full day	23.40	22.00	17.00	17.00	20.00	19.00
Part day	16.00	15.00	14.00	15.00	13.33	13.00

**GROUP HOMES**

Age Group	District I	District II	District III	District IV	District V	District VI
<b>Birth &lt; 1 yr:</b>						
Full day	24.00	22.00	23.00	20.00	19.00	21.20
Part day	16.00	16.00	23.00	14.00	12.50	18.00
<b>1 yr &lt; 3 yrs:</b>						
Full day	22.00	22.00	22.00	18.00	19.00	21.25
Part day	15.00	16.00	15.00	12.00	12.00	17.00
<b>3 yrs &lt; 6 yrs:</b>						
Full day	20.00	20.00	22.00	18.00	19.00	18.50
Part day	15.00	16.00	13.95	12.00	12.00	16.00
<b>6 yrs &lt; 13 yrs:</b>						
Full day	18.00	20.00	17.00	18.00	19.00	18.50
Part day	14.00	15.81	13.95	12.00	12.00	17.00

**CERTIFIED FAMILY HOMES & CERTIFIED IN-HOME PROVIDERS**

Age Group	District I	District II	District III	District IV	District V	District VI
<b>Birth &lt; 1 yr:</b>						
Full day	20.00	19.00	18.00	18.00	20.00	18.00
Part day	14.00	12.00	10.00	10.50	12.00	10.00
<b>1 yr &lt; 3 yrs:</b>						
Full day	20.00	18.00	17.00	17.00	20.00	17.00
Part day	13.00	12.00	10.00	10.50	11.00	10.00
<b>3 yrs &lt; 6 yrs:</b>						
Full day	18.00	18.00	16.00	17.00	18.00	16.00
Part day	12.00	12.00	10.00	10.50	10.00	10.00
<b>6 yrs &lt; 13 yrs:</b>						
Full day	17.00	18.00	16.00	16.00	18.00	16.00
Part day	12.00	11.00	10.00	10.00	10.00	10.00

The actual reimbursement amount is equal to the reimbursement rate minus any DES designated co-payment. However, in no event shall the amount reimbursed exceed the lesser of the provider's actual charges or the maximum reimbursement rate minus any DES designated co-payment.

Payment Rates for Non-Certified Relative Providers (NCRPs) will be \$10.50 for Full day and \$6.00 for Part day, minus any DES designated co-payment. This rate will be paid to NCRPs statewide for care provided to children of all ages.

The maximum reimbursement rates may be increased by up to ten percent, for child care providers who are nationally accredited.

Full day = six or more hours per day. Part day = less than six hours per day.

DES defines six local areas based upon geographic proximity/common characteristics, as Districts. They are comprised of the following counties:

District I - Maricopa

District II - Pima

District III - Apache, Coconino, Navajo and Yavapai

District IV - La Paz, Mohave and Yuma

District V - Gila and Pinal

District VI - Cochise, Graham, Greenlee and Santa Cruz



**CHILD CARE AND DEVELOPMENT FUND (CCDF) PLAN**

**FOR**

**ARIZONA**

**FFY 2011-2013**

**ATTACHMENT 2.7.4**

**MARKET RATE SURVEY INSTRUMENT & SUMMARY OF RESULTS**

**DES Child Care Rate Survey – 2010**  
**Maricopa County Office of Research & Reporting**

1. First, I would like to ask you some general questions about the child care services you provide. How many children do you have **approval** to care for at one time?  
(How many children CAN you take care of at one time?)

NUMBER OF CHILDREN APPROVED \_\_\_\_ \_

2. On an average day, how many children are normally cared for at your (center / home)?

AVERAGE NUMBER OF CHILDREN \_\_\_\_ \_

3. Do you provide or offer care for a child for 6 or more hours a day?

[ 0 ] NO ( skip to q 3Next Page)

[ 1 ] YES

2a. Do you have a **DAILY** rate you charge for child care for 6 or more hours each day?

[ 1 ] YES, DAILY RATE ( skip to q 2c)

[ 2 ] NO, HOURLY RATE ( skip to q 2c)

[ 3 ] NO, WEEKLY RATE

[ 4 ] NO, MONTHLY

[ 6 ] NO, OTHER (Specify) \_\_\_\_\_

2b. How many days per week does this rate include?

DAYS PER WEEK \_\_\_\_\_

2c. How much (do / would) you charge per (**day** / week / hour / month) for care of children UNDER ONE YEAR OF AGE?

\$\_\_ \_\_ . \_\_ \_\_ [ 0 ] NO FULL DAY FOR CHILDREN UNDER ONE

2d. How much (do / would) you charge per (**day** / week / hour / month) for one and two year olds for full-day care?

\$\_\_ \_\_ . \_\_ \_\_ [ 0 ] NO FULL DAY FOR CHILDREN 1 OR 2

2e. How much (do / would) you charge per (**day** / week / hour / month) for three, four and five year olds? (For **full**-day care?)

\$\_\_ \_\_ . \_\_ \_\_ [ 0 ] NO FULL DAY FOR CHILDREN 3, 4 OR 5

2f. What about children six through twelve years, how much (do / would) you charge per (**day** / week / hour / month) for school age children **on those days when the child is not in school?**

\$\_\_ \_\_ . \_\_ \_\_ [ 0 ] NO FULL DAY FOR SCHOOL AGE CHILDREN

3. Do you offer care for a child for fewer than 6 hours a day?

[ 0 ] NO ( skip to q 4, Next Page)

[ 1 ] YES

3a. Do you have a **DAILY** rate you charge for care for fewer than 6 hours per day?

[ 1 ] YES, DAILY RATE ( skip to q 3c)

[ 2 ] NO, HOURLY RATE ( skip to q 3c)

[ 3 ] NO, WEEKLY RATE

[ 4 ] NO, MONTHLY

[ 5 ] NO, OTHER \_\_\_\_\_

3b. How many days per week does this rate include?

DAYS PER WEEK \_\_\_\_\_

3c. How much (do / would) you charge per (day / week / hour / month) for care of children UNDER ONE YEAR OF AGE?

\$\_\_ \_\_ \_\_ . \_\_ \_\_

[ 0 ] NO PART DAY FOR CHILDREN UNDER ONE

3d. How much (do / would) you charge per (day / week / hour / month) for one and two year olds for **part**-day care?

\$\_\_ \_\_ \_\_ . \_\_ \_\_

[ 0 ] NO PART DAY FOR CHILDREN 1 OR 2

3e. How much (do / would) you charge per (day / week / hour / month) for three, four and five year olds? (For **part**-day care?)

\$\_\_ \_\_ \_\_ . \_\_ \_\_

[ 0 ] NO PART DAY FOR CHILDREN 3, 4 OR 5

3f. What about children six through twelve years, how much (do / would) you charge per (day / week / hour / month) **for before and/or after school care**?

\$\_\_ \_\_ \_\_ . \_\_ \_\_

[ 0 ] NO PART DAY FOR SCHOOL AGE CHILDREN

4. The next few questions relate to discounts you may offer or additional fees that you may charge for other services offered.

Do you offer a discount for more than one child from the same family?

[ 0 ] NO (skip to q 5)

[ 1 ] YES

4a. Are there any special conditions, such as advance payment, that must be met in order to receive this discount?

[ 0 ] NO CONDITIONS OR RESTRICTIONS

[ 1 ] YES, ADVANCE PAYMENT REQUIRED

[ 2 ] YES, ONLY FOR FULL DAY (NOT PART-DAY)

[ 6 ] YES, OTHER RESPONSE \_\_\_\_\_

5. Do you offer regular child care that includes the hours between 6:30pm and midnight.

[ 0 ] NO (skip to q 6)

[ 1 ] YES

5a. Do you charge a higher rate for evening care?

[ 0 ] NO

[ 1 ] YES

6. Do you offer regular child care that includes the hours between midnight and 6am.

[ 0 ] NO (skip to q 7)

[ 1 ] YES

6a. Do you charge a higher rate for this nighttime care?

[ 0 ] NO

[ 1 ] YES

7. Do you offer regular Saturday and/or Sunday child care?

[ 0 ] NO (skip to q 8)

[ 1 ] YES

7a. Do you charge a higher rate for weekend care?

[ 0 ] NO

[ 1 ] YES

8. Do you offer regular care for more than 12 hours a day?

[ 0 ] NO (skip to end)

[ 1 ] YES

8a. Do you charge a higher rate for this extended day childcare?

[ 0 ] NO

[ 1 ] YES

Thank you very much for your time and help with this project. We've talked about a lot of different things, but there may be some other areas of need that you feel we should have talked about.

Are there any comments you would like to make at this time?

If you should have any questions about this study, please feel free to call us at **(602) 506-1600** or **(877) 499-6100**.

Or you may want to call the D.E.S. Child Care Administration at **(602) 542-1957**.

## Summary of Results

### **SURVEY METHODOLOGY:**

*DES contracted with the Maricopa County Office of Research and Reporting to conduct the Child Care Market Rate 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.*

*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: 1) The DES database of certified family homes that provide child care services to families eligible for child care assistance; 2) The Department of Health Services' (DHS) database of licensed child care centers (including "preschools" required to be licensed as child day care centers) and certified child care group homes; 3) Listings obtained from non-profit sponsors who approve child care homes to participate in the Arizona Department of Education's (ADE) federal Child and Adult Care Food Program (CACFP); and 4) Lists of otherwise unregulated homes registered with the state contracted Child Care Resource & Referral (CCR&R) agencies.*

*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 DES. 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 a DES contact if they had any other questions.*

*Initially the various sources identified 6,741 possible child care providers in the state. Providers that either were listed on more than one list, not providing care, not charging for their services, or unable to be interviewed due to invalid and non-existent telephone numbers were eliminated from this total. This resulted in a list of 4,660 child care providers, of which 99% were interviewed.*

*A total of 4,625 child care providers (1,885 licensed centers, 2,099 approved family homes, 374 certified group homes and 267 unregulated homes listed with CCR&R) were interviewed for this survey. The survey was conducted between March and June 2010. As with any survey, there is a margin of error due to reasons such as the respondent's interpretations of the questions asked and their understanding of the purpose of the survey and resultant usage of the data compiled. The complete survey report can be viewed at:*

*<https://www.azdes.gov/InternetFiles/Reports/pdf/MarketRateSurvey2010.pdf>*

*Key findings of the 2010 survey are summarized below. Specific details of this survey are found in the three sets of tables, which follow the key findings.*

*Market rate information is given, for each of the six DES geographic Districts which are comprised of a county or group of counties. The data is presented as: 1) The 50<sup>th</sup> percentile (the median) i.e., the rate at which at least 50% of the market is at or below and 2) The 75<sup>th</sup> percentile i.e., the rate at which at least 75% of the market is at or below.*

## **KEY FINDINGS**

### **Licensed Centers**

- ◆ *The median daily charge for full-time care, for a child under the age of one year, ranged from \$26.00 to \$42.50 across the six DES districts. The statewide median is \$38.75.*
- ◆ *The median daily charge for full-time care, for a one or two year old child, ranged from \$23.00 to \$37.50 across the six DES districts. The statewide median is \$34.80.*
- ◆ *The median daily charge for full-time care, for a three, four or five year old child, ranged from \$22.00 to \$32.00 across the six DES districts. The statewide median is \$30.00.*
- ◆ *The median daily charge for full-time care, for a school age child, ranged from \$20.00 to \$30.00 across the six DES districts. The statewide median is \$27.00.*

### **Certified Group Homes**

- ◆ *The median daily charge for full-time care, for a child under the age of one year, ranged from \$23.00 to \$30.00 across the six DES districts. The statewide median is \$25.00.*
- ◆ *The median daily charge for full-time care, for a one or two year old child, ranged from \$21.00 to \$26.50 across the six DES districts. The statewide median is \$25.00.*
- ◆ *The median daily charge for full-time care, for a three, four or five year old child, ranged from \$20.00 to \$26.00 across the six DES districts. The statewide median is \$25.00.*
- ◆ *The median daily charge for full-time care, for a school age child, ranged from \$20.00 to \$25.00 across the six DES districts. The statewide median is \$24.00.*

### **Approved Family Child Care Homes**

- ◆ *The median home charge for full-time care, for a child under the age of one year, ranged from \$20.00 to \$25.00 across the six DES districts. The statewide median is \$22.00.*
- ◆ *The median daily charge for full-time care, for a one or two year old child, ranged from \$20.00 to \$25.00 across the six DES districts. The statewide median is \$20.00.*
- ◆ *The median daily charge for full-time care, for a three, four or five year old child, ranged from \$20.00 to \$25.00 across the six DES districts. The statewide median is \$20.00.*
- ◆ *The median daily charge for full-time care, for a school age child, ranged from \$17.00 to \$25.00 across the six DES districts. The statewide median is \$20.00.*

**Licensed Centers**  
**Average Rate Charged Per Day For**  
**Full-Time (Six Or More Hours) Child Care**

		DISTRICT 1	DISTRICT 2	DISTRICT 3	DISTRICT 4	DISTRICT 5	DISTRICT 6	Total State
		Maricopa County	Pima County	Apache, Coconino, Navajo & Yavapai Counties	La Paz, Mohave & Yuma Counties	Gila & Pinal Counties	Cochise, Graham, Greenlee & Santa Cruz Counties	
Children Under One	50 <sup>th</sup> percentile	40.80	36.80	30.00	26.00	42.50	29.40	38.75
	75 <sup>th</sup> percentile	48.00	40.00	33.00	28.00	45.00	30.00	46.00
One and Two Year Olds	50 <sup>th</sup> percentile	36.74	30.23	25.00	23.00	37.50	25.00	34.80
	75 <sup>th</sup> percentile	45.00	35.80	30.00	25.00	45.00	28.83	42.00
Three, Four & Five Year Olds	50 <sup>th</sup> percentile	32.00	29.00	24.00	22.00	27.50	23.95	30.00
	75 <sup>th</sup> percentile	38.60	33.60	27.37	24.00	40.00	26.80	36.95
School Age Children	50 <sup>th</sup> percentile	28.00	25.00	21.00	20.00	30.00	20.00	27.00
	75 <sup>th</sup> percentile	35.00	32.00	25.00	22.00	33.00	24.00	34.00

**Average Rate Charged per Day For**  
**Part-Time (Less Than Six Hours) Child Care**

		DISTRICT 1	DISTRICT 2	DISTRICT 3	DISTRICT 4	DISTRICT 5	DISTRICT 6	Total State
		Maricopa County	Pima County	Apache, Coconino, Navajo & Yavapai Counties	La Paz, Mohave & Yuma Counties	Gila & Pinal Counties	Cochise, Graham, Greenlee & Santa Cruz Counties	
Children Under One	50 <sup>th</sup> percentile	33.00	28.14	24.00	18.00	28.00	18.00	32.00
	75 <sup>th</sup> percentile	41.00	34.00	30.00	24.00	40.00	29.40	39.80
One and Two Year Olds	50 <sup>th</sup> percentile	29.30	25.00	20.00	18.00	28.00	16.00	26.80
	75 <sup>th</sup> percentile	35.00	29.50	22.60	21.00	30.00	20.50	34.00
Three, Four & Five Year Olds	50 <sup>th</sup> percentile	22.40	21.00	12.79	16.00	19.40	14.51	20.00
	75 <sup>th</sup> percentile	29.00	25.80	18.87	18.00	25.00	17.80	27.40
School Age Children	50 <sup>th</sup> percentile	19.00	16.27	12.00	14.41	15.50	15.00	17.60
	75 <sup>th</sup> percentile	25.00	22.68	15.00	17.00	17.00	18.00	24.00

**Certified Group Homes**  
**Average Rate Charged Per Day For**  
**Full-Time (Six Or More Hours) Child Care**

		DISTRICT 1	DISTRICT 2	DISTRICT 3	DISTRICT 4	DISTRICT 5	DISTRICT 6	
		Maricopa County	Pima County	Apache, Coconino, Navajo & Yavapai Counties	La Paz, Mohave & Yuma Counties	Gila & Pinal Counties	Cochise, Graham, Greenlee & Santa Cruz Counties	Total State
Children Under One	50 <sup>th</sup> percentile	28.00	25.00	30.00	23.00	29.00	21.00	25.00
	75 <sup>th</sup> percentile	30.00	27.00	30.00	25.00	30.00	22.00	30.00
One and Two Year Olds	50 <sup>th</sup> percentile	26.00	25.00	26.00	22.00	26.50	21.00	25.00
	75 <sup>th</sup> percentile	30.00	26.00	30.00	24.00	29.95	25.00	29.00
Three, Four & Five Year Olds	50 <sup>th</sup> percentile	25.00	25.00	26.00	20.00	25.00	21.00	25.00
	75 <sup>th</sup> percentile	30.00	25.00	30.00	24.00	29.95	25.00	27.00
School Age Children	50 <sup>th</sup> percentile	22.00	25.00	25.00	20.00	25.00	20.00	24.00
	75 <sup>th</sup> percentile	26.00	25.00	30.00	23.75	26.00	20.00	25.00

**Average Rate Charged per Day For**  
**Part-Time (Less Than Six Hours) Child Care**

		DISTRICT 1	DISTRICT 2	DISTRICT 3	DISTRICT 4	DISTRICT 5	DISTRICT 6	
		Maricopa County	Pima County	Apache, Coconino, Navajo & Yavapai Counties	La Paz, Mohave & Yuma Counties	Gila & Pinal Counties	Cochise, Graham, Greenlee & Santa Cruz Counties	Total State
Children Under One	50 <sup>th</sup> percentile	20.00	18.00	20.00	17.00	17.00	15.00	18.00
	75 <sup>th</sup> percentile	28.00	20.00	25.00	18.00	24.60	18.50	21.00
One and Two Year Olds	50 <sup>th</sup> percentile	20.00	18.00	18.00	16.00	15.00	15.00	18.00
	75 <sup>th</sup> percentile	26.00	18.81	25.00	18.00	19.60	18.50	20.00
Three, Four & Five Year Olds	50 <sup>th</sup> percentile	19.00	18.00	18.00	16.00	14.00	15.00	18.00
	75 <sup>th</sup> percentile	26.00	18.75	25.00	18.00	19.60	18.50	20.00
School Age Children	50 <sup>th</sup> percentile	17.00	18.00	18.00	16.00	14.50	15.00	17.00
	75 <sup>th</sup> percentile	20.00	18.00	25.00	18.00	19.60	17.63	20.00

**Approved Family Child Care Homes**

**Average Rate Charged Per Day For**

**Full-Time (Six Or More Hours) Child Care**

		DISTRICT 1	DISTRICT 2	DISTRICT 3	DISTRICT 4	DISTRICT 5	DISTRICT 6	Total State
		Maricopa County	Pima County	Apache, Coconino, Navajo & Yavapai Counties	La Paz, Mohave & Yuma Counties	Gila & Pinal Counties	Cochise, Graham, Greenlee & Santa Cruz Counties	
Children Under One	50 <sup>th</sup> percentile	20.00	23.00	21.00	20.00	25.00	24.00	22.00
	75 <sup>th</sup> percentile	25.00	25.00	25.00	22.00	30.00	25.00	25.00
One and Two Year Olds	50 <sup>th</sup> percentile	20.00	23.00	20.00	20.00	25.00	24.00	20.00
	75 <sup>th</sup> percentile	25.00	25.00	25.00	21.00	30.00	25.00	25.00
Three, Four & Five Year Olds	50 <sup>th</sup> percentile	20.00	22.00	20.00	20.00	25.00	22.00	20.00
	75 <sup>th</sup> percentile	25.00	25.00	25.00	21.00	26.00	25.00	25.00
School Age Children	50 <sup>th</sup> percentile	17.00	22.00	20.00	20.00	25.00	20.00	20.00
	75 <sup>th</sup> percentile	25.00	25.00	25.00	21.00	25.00	25.00	25.00

**Average Rate Charged per Day For**

**Part-Time (Less Than Six Hours) Child Care**

		DISTRICT 1	DISTRICT 2	DISTRICT 3	DISTRICT 4	DISTRICT 5	DISTRICT 6	Total State
		Maricopa County	Pima County	Apache, Coconino, Navajo & Yavapai Counties	La Paz, Mohave & Yuma Counties	Gila & Pinal Counties	Cochise, Graham, Greenlee & Santa Cruz Counties	
Children Under One	50 <sup>th</sup> percentile	13.00	15.00	12.00	12.00	15.00	12.75	15.00
	75 <sup>th</sup> percentile	20.00	18.00	20.00	15.00	18.00	16.00	18.00
One and Two Year Olds	50 <sup>th</sup> percentile	12.50	15.00	12.00	12.00	15.00	12.50	15.00
	75 <sup>th</sup> percentile	20.00	18.00	19.00	15.00	18.00	16.00	17.50
Three, Four & Five Year Olds	50 <sup>th</sup> percentile	12.50	15.00	12.00	12.00	15.00	12.50	14.00
	75 <sup>th</sup> percentile	18.00	17.50	15.00	15.00	18.00	15.50	16.00
School Age Children	50 <sup>th</sup> percentile	12.00	15.00	12.00	12.00	15.00	12.00	13.00
	75 <sup>th</sup> percentile	16.00	16.00	15.00	15.00	18.00	15.00	16.00

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