

OMB Control No: 0970-0114

Expiration date: 03/31/2027

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**Appendix 1: Lead Agency Implementation Plan
for**

State/Territory North Dakota

FFY 2025 – 2027

Version: Initial Plan

Plan Status: Approved as of 2024-11-09 00:34:15 GMT

For each non-compliance, Lead Agencies must describe the following:

- **Action Steps:** List the action steps needed to correct the finding (e.g., update policy manual, legislative approval, IT system changes, etc.). For each action step list the:
 - o **Expected Completion Date:** List the expected completion date for the action step.
- **Overall Target Date for Compliance:** List date Lead Agency anticipates completing implementation, achieving full compliance with all aspects of the findings. (Note: Compliance will not be determined until the FFY 2025-2027 CCDF Plan is amended and approved).

ELIGIBILITY AND ENROLLMENT:CONTINUITY OF CARE (12-MONTH ELIGIBILITY)

Reason(s) for non-compliance:

- The Lead Agency does not always provide a minimum 12-month eligibility period for each child, as required by 98.21(a)(1). (Plan Questions 2.5.2a and 2.5.2c)

Overall Target Completion Date: 04/30/2026

Action Step Number	Action Step Description	Target Completion Date
1	Draft policy changes	10/31/2024
2	Request System Changes	10/31/2024
3	Implement policy and system changes	04/30/2026
4	Train staff on changes and inform families	04/30/2026

ELIGIBILITY AND ENROLLMENT:PRIORITIZATION OF POPULATIONS

Reason(s) for non-compliance:

- The Lead Agency does not coordinate with licensing agencies and other relevant State and local agencies to provide referrals and support families experiencing homelessness and families caring for children in foster care during a grace period to comply with immunization and other health and safety requirements, as required by 98.41(a)(1)(i)(C)(4). (Plan Question 2.3.3c)

Overall Target Completion Date: 02/28/2025

Action Step Number	Action Step Description	Target Completion Date
1	Draft policy change	01/31/2025
2	Train staff on policy change	01/31/2025
3	Implement policy change	02/28/2025

EQUAL ACCESS:AFFORDABILITY

Reason(s) for non-compliance:

- The Lead Agency does not have policies to act on information provided by the family if it would reduce the family's co-payment or increase the family's subsidy, as required by 98.21(h)(4)(i). (Plan Question 2.5.4)

Overall Target Completion Date: 04/30/2026

Action Step Number	Action Step Description	Target Completion Date
1	Draft policy changes	10/31/2024
2	Request System Changes	10/31/2024
3	Implement policy and system changes	04/30/2026
4	Train staff on changes and inform families	04/30/2026

EQUAL ACCESS:PROVIDER OPTIONS FOR PARENTS

Reason(s) for non-compliance:

- The Lead Agency does not provide grants or contracts for direct services for infants and toddlers, for children in underserved geographic areas, and for children with disabilities, as required by 98.30(b)(1). (Plan Questions 4.1.1c and 4.5.1i). Please note the Lead Agency has an approved waiver for this requirement through August 1, 2026.

Overall Target Completion Date: 07/31/2026

Action Step Number	Action Step Description	Target Completion Date
1	Identifying eligible providers and underserved areas in ND	12/31/2025
2	Development of agreements	05/31/2026

3	System changes to support payments for grants and contracts	07/31/2026
4	Launch of grants and contracts program	07/31/2026

HEALTH AND SAFETY:ADMINISTRATION OF MEDICATION

Reason(s) for non-compliance:

- The Lead Agency does not require pre-service or orientation training on administration of medication for license-exempt in-home providers, as required by 98.44(b)(1)(i). (Plan Question 5.4.1c)

Overall Target Completion Date: 03/31/2026

Action Step Number	Action Step Description	Target Completion Date
1	Draft administrative code (NDAC) revisions, including convening advisory board	12/31/2025
2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026
4	Inform license-exempt in-home providers of new NDAC and effective date of April 1, 2026 (based on this timeline)	03/31/2026

HEALTH AND SAFETY:POSTING INSPECTION REPORTS

Reason(s) for non-compliance:

- The Lead Agency does not post full monitoring and inspection reports that include all areas of compliance and non-compliance for all license-exempt in-home care providers, as required by 98.33(a)(4). (Plan Question 5.5.4aii)

Overall Target Completion Date: 01/31/2027

Action Step Number	Action Step Description	Target Completion Date
1	Update information management systems to include license-exempt in-home providers upon implementation of monitoring visits	01/31/2027

HEALTH AND SAFETY:BUILDING AND PHYSICAL PREMISES SAFETY

Reason(s) for non-compliance:

- The Lead Agency has not established a standard for building and physical premises safety, including the identification of and protection from hazards, bodies of water and vehicular traffic for license-exempt in-home providers, and identification of and protection from vehicular traffic for license-exempt family child care providers, as required by 98.41(a)(1)(v). (Plan Questions 5.3.5avi, 5.3.5bvi, 5.3.5cvi, and 5.3.5cv)
- The Lead Agency does not require pre-service or orientation training on building and physical premises safety, including identification of and protection from hazards, bodies of water, and vehicular traffic for license-exempt in-home providers, as required by 98.44(b)(1)(i). (Plan Question 5.4.1e)
- The Lead Agency does not require an annual inspection for license-exempt family child care providers for compliance with a standard for the identification of and protection from vehicular traffic, as required by 98.42(b)(2)(ii). (Plan Question 5.5.2bi)

Overall Target Completion Date: 01/31/2027

Action Step Number	Action Step Description	Target Completion Date
1	Draft new administrative code (NDAC), including convening advisory board	12/31/2025
2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026
4	Incorporate new requirements into inspection checklists/update information management systems	12/31/2026
5	Train licensing staff	12/31/2026

6	Inform providers of new NDAC & revised inspection checklists	12/31/2026
7	Implement new inspection checklists	01/31/2027

HEALTH AND SAFETY:CHILD DEVELOPMENT

Reason(s) for non-compliance:

- The Lead Agency does not require pre-service or orientation training on child development for license-exempt in-home providers, as required by 98.44(b)(1)(iii). (Plan Question 5.4.1l)

Overall Target Completion Date: 03/31/2026

Action Step Number	Action Step Description	Target Completion Date
1	Draft administrative code (NDAC) revisions, including convening advisory board	12/31/2025
2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026
4	Inform license-exempt in-home providers of new NDAC and effective date of April 1, 2026 (based on this timeline)	03/31/2026

HEALTH AND SAFETY:EMERGENCY PREPAREDNESS AND RESPONSE PLANNING

Reason(s) for non-compliance:

- The Lead Agency does not require pre-service or orientation training on emergency preparedness and response planning for license-exempt in-home providers, as required by 98.44(b)(1)(i). (Plan Question 5.4.1g)

Overall Target Completion Date: 03/31/2026

Action Step Number	Action Step Description	Target Completion Date
1	Draft administrative code (NDAC) revisions, including convening advisory board	12/31/2025
2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026
4	Inform license-exempt in-home providers of new NDAC and effective date of April 1, 2026 (based on this timeline)	03/31/2026

HEALTH AND SAFETY: HANDLING AND STORAGE OF HAZARDOUS MATERIALS AND DISPOSAL OF BIOCONTAMINANTS

Reason(s) for non-compliance:

- The Lead Agency has not established a standard for the handling and storage of hazardous materials and appropriate disposal of biocontaminants for license-exempt in-home providers, or for the appropriate disposal of biocontaminants for out-of-school programs, as required by 98.41(a)(1)(viii). (Plan Questions 5.3.8avi, 5.3.8bvi, and 5.3.8vii)
- The Lead Agency does not require pre-service or orientation training on handling and storage of hazardous materials and disposal of biocontaminants for license-exempt in-home providers, as required by 98.44(b)(1)(i). (Plan Question 5.4.1h)
- The Lead Agency does not require an annual unannounced inspection for licensed centers for compliance with a standard for the appropriate disposal of biocontaminants, as required by 98.42(b)(2)(i)(B). (Plan Question 5.5.1aii)

Overall Target Completion Date: 01/31/2027

Action Step Number	Action Step Description	Target Completion Date
1	Draft new administrative code (NDAC), including convening advisory board	12/31/2025
2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026

4	Inform providers of new NDAC	04/30/2026
5	Incorporate new requirements into inspection checklists/ update information management systems	12/31/2026
6	Train licensing staff on revised inspection checklists	12/31/2026
7	Inform providers of revised inspection checklists	12/31/2026
8	Implement new inspection checklists	01/31/2027

HEALTH AND SAFETY:INSPECTION OF IN-HOME CARE

Reason(s) for non-compliance:

- The Lead Agency does not conduct annual inspections for license-exempt in-home providers, as required by 98.42(b)(2)(iv)(B). (Plan Question 5.5.3a)

Overall Target Completion Date: 01/31/2027

Action Step Number	Action Step Description	Target Completion Date
1	Draft inspection checklist for license-exempt in-home providers	07/31/2026
2	Update information management system	12/31/2026
3	Train licensing staff on new inspection checklist	12/31/2026
4	Inform license-exempt in-home providers of monitoring visits and inspection checklists	12/31/2026
5	Implement new checklist and begin monitoring visits	01/31/2027

HEALTH AND SAFETY:PEDIATRIC FIRST AID AND PEDIATRIC CPR

Reason(s) for non-compliance:

- The Lead Agency has not established a standard for pediatric first aid or pediatric CPR for all staff for license-exempt in-home care, as required by 98.41(a)(1)(x). (Plan Questions 5.3.10avi and 5.3.10bvi)
- The Lead Agency does not require pre-service or orientation training on pediatric first aid and pediatric CPR for license-exempt in-home providers, as required by 98.44(b)(1)(i). (Plan Question 5.4.1j)

Overall Target Completion Date: 03/31/2026

Action Step Number	Action Step Description	Target Completion Date
1	Draft administrative code (NDAC) revisions, including convening advisory board	12/31/2025
2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026
4	Inform license-exempt in-home providers of new NDAC and effective date of April 1, 2026 (based on this timeline)	03/31/2026

HEALTH AND SAFETY:PRECAUTIONS IN TRANSPORTING CHILDREN

Reason(s) for non-compliance:

- The Lead Agency has not established a standard for precautions in transporting children, where applicable, for license-exempt in-home care, as required by 98.41(a)(1)(ix). (Plan Question 5.3.9vi)
- The Lead Agency does not require pre-service or orientation training on precautions in transporting children, where applicable, for license-exempt in-home providers, as required by 98.44(b)(1)(i). (Plan Question 5.4.1i)

Overall Target Completion Date: 03/31/2026

Action Step Number	Action Step Description	Target Completion Date
1	Draft administrative code (NDAC) revisions, including convening advisory board	12/31/2025

2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026
4	Inform license-exempt in-home providers of new NDAC and effective date of April 1, 2026 (based on this timeline)	03/31/2026

HEALTH AND SAFETY:PREVENTION AND CONTROL OF INFECTIOUS DISEASES

Reason(s) for non-compliance:

- The Lead Agency has not established a standard for the prevention and control of infectious diseases (including immunizations) for all licensed-exempt in-home care, as required by 98.41(a)(1)(i). (Plan Questions 5.3.1avi and 5.3.1bvi)
- The Lead Agency does not require pre-service or orientation training on prevention and control of infectious diseases (including immunizations) for license-exempt in-home providers, as required by 98.44(b)(1)(i). (Plan Question 5.4.1a)

Overall Target Completion Date: 03/31/2026

Action Step Number	Action Step Description	Target Completion Date
1	Draft administrative code (NDAC) revisions, including convening advisory board	12/31/2025
2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026
4	Inform license-exempt in-home providers of new NDAC and effective date of April 1, 2026 (based on this timeline)	03/31/2026

HEALTH AND SAFETY:PREVENTION AND RESPONSE TO EMERGENCIES FROM FOOD AND ALLERGIC REACTIONS

Reason(s) for non-compliance:

- The Lead Agency has not established a standard for the response to emergencies due to food and allergic reactions for licensed centers, licensed family child care homes, license-exempt family child care homes, license-exempt in-home care, or out-of-school programs, as required by 98.41(a)(1)(iv). (Plan Questions 5.3.4bi, 5.3.4bii, 5.3.4bv, 5.3.4bvi, and 5.3.4bvii)
- The Lead Agency does not require pre-service or orientation training on prevention and response to food and allergic reactions for license-exempt in-home providers, as required by 98.44(b)(1)(i). (Plan Question 5.4.1d)
- The Lead Agency does not require an annual unannounced inspection for licensed centers or licensed family child care providers or an annual inspection for license-exempt family child care providers for compliance with a standard for response to emergencies from food and allergic reactions, as required by 98.42(b)(2)(i)(B) and 98.42(b)(2)(ii). (Plan Questions 5.5.1aii, 5.5.1bii, and 5.5.2bi)

Overall Target Completion Date: 01/31/2027

Action Step Number	Action Step Description	Target Completion Date
1	Draft new administrative code (NDAC), including convening advisory board	12/31/2025
2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026
4	Incorporate new requirements into inspection checklists/ update information management systems	12/31/2026
5	Train licensing staff	12/31/2026
6	Inform providers of new NDAC & revised inspection checklists	12/31/2026
7	Implement new inspection checklists	01/31/2027

HEALTH AND SAFETY: PREVENTION OF SHAKEN BABY SYNDROME, ABUSIVE HEAD TRAUMA, AND CHILD MALTREATMENT

Reason(s) for non-compliance:

- The Lead Agency does not require pre-service or orientation training on prevention of shaken baby syndrome, abusive head trauma, and child maltreatment for license-exempt in-home providers, as required by 98.44(b)(1)(i). (Plan Question 5.4.1f)

Overall Target Completion Date: 03/31/2026

Action Step Number	Action Step Description	Target Completion Date
1	Draft administrative code (NDAC) revisions, including convening advisory board	12/31/2025
2	Hold public hearing on proposed NDAC	02/28/2026
3	Legislative committee convenes to approve NDAC revisions	03/31/2026
4	Inform license-exempt in-home providers of new NDAC and effective date of April 1, 2026 (based on this timeline)	03/31/2026