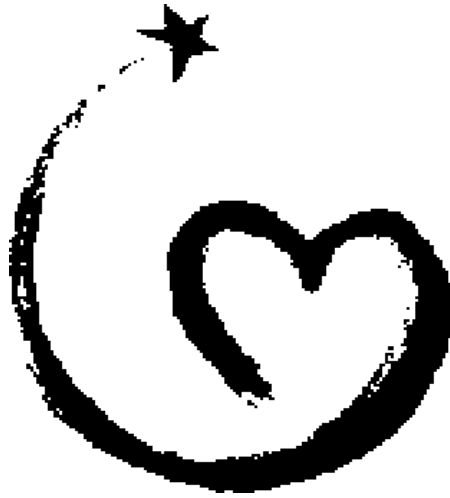


# CHILD CARE AND DEVELOPMENT FUND

For

Tribe: \_\_\_\_\_

FFY 2014-2015



This Plan describes the CCDF program to be administered by the Tribes for the period 10/1/2013 – 9/30/2015. As provided for in the applicable statutes and regulations, the Tribal 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 Tribal 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 120 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-A; OMB Approval Number: 0970-0198, expires XX/XX/XXXX)**

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## Part 1 – Administration

This section provides information on how the CCDF program is administered, including the designated Tribal Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and procedures.

### **Section 1.1. Tribal Applicant and Designated Tribal Lead Agency**

#### **1.1.1. Applicant - Official Name of Tribe as listed in the Federal Register or Tribal Consortium**

- a) Name of the Tribe: \_\_\_\_\_
- b) Name of Tribal Chair/President/Leader: \_\_\_\_\_
- c) Title: \_\_\_\_\_
- d) Address: \_\_\_\_\_
- e) City, State, Zip Code: \_\_\_\_\_
- f) Telephone Number: \_\_\_\_\_
- g) Fax Number: \_\_\_\_\_
- h) Email Address: \_\_\_\_\_

#### **1.1.2. What is the Lead Agency designated by the Tribe or Tribal consortium to administer the CCDF program?**

The agency shown below has been designated by the Tribe or Tribal consortium to represent the Tribe or Tribal organization as the Tribal Lead Agency. The Tribal Lead Agency agrees to administer the program in accordance with applicable Federal laws, regulations and in accordance with provisions of this Plan, including assurances and certifications appended hereto. (658D, 658E) See CCDF Assurances and Certifications (Appendix 1)

- a) Name of Lead Agency: \_\_\_\_\_
- b) Address of Lead Agency: \_\_\_\_\_
- c) City, State, Zip Code: \_\_\_\_\_
- d) Phone Number: \_\_\_\_\_
- e) Fax Number: \_\_\_\_\_
- f) Web Address for Lead Agency: \_\_\_\_\_

#### **1.1.3. Who is the CCDF administrator?**

Identify the CCDF Administrator, the day-to-day contact with responsibility for administering the CCDF program. This person(s) will serve as the primary contact for ACF. 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:**

- 1) Name of Tribal CCDF Administrator: \_\_\_\_\_
- 2) Title of Tribal CCDF Administrator: \_\_\_\_\_
- 3) Mailing Address of Tribal CCDF Administrator: \_\_\_\_\_
- 4) Physical Address (if different from mailing address): \_\_\_\_\_
- 5) Phone Number: \_\_\_\_\_
- 6) Public Phone Number (if different than above): \_\_\_\_\_
- 7) Fax Number: \_\_\_\_\_
- 8) Email Address: \_\_\_\_\_

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

- 1) Name of Tribal CCDF Co-Administrator: \_\_\_\_\_
- 2) Title of Tribal CCDF Co-Administrator: \_\_\_\_\_
- 3) Address of Tribal CCDF Co-Administrator: \_\_\_\_\_
- 4) Phone Number: \_\_\_\_\_
- 5) Fax Number: \_\_\_\_\_
- 6) Email Address: \_\_\_\_\_
- 7) Description of the role of the CCDF Co-Administrator: \_\_\_\_\_

**Section 1.2. Administration through Contracts or Agreements**

The Tribal Lead Agency has broad authority to administer the program through other governmental, non-governmental, or other public or private local agencies. Under the statute, the Tribal Lead Agency remains the single point of contact and retains overall responsibility for the administration of the CCDF program. (658D(b)(1)(A), 658E(c)(3)(C), 98.11, 98.16(c)(1))

**Reminder:** A consortium is considered an entity of the Tribe, not a non-governmental entity, for purposes of this section.

**1.2.1.** Will the Tribal Lead Agency directly administer and implement all programs funded under the Child Care and Development Fund? (98.16(c)(1))

- Yes, the Tribal Lead Agency will administer and implement all of the programs funded with CCDF funds. (If Yes, go to Section 1.3.1)
- No, the Lead Agency will not directly administer and implement ALL programs funded under the CCDF allocations. List the names of those agencies below.

**a) Agency(ies) Name and Contact Information for Provision of Child Care Services, including the payment to child care providers.**

- 1) Name of Administrative Entity(ies): \_\_\_\_\_
- 2) Address of Administrative Entity(ies): \_\_\_\_\_
- 3) Name and Title of the Administrator: \_\_\_\_\_
- 4) Telephone: (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Ext: \_\_\_\_\_
- 5) Fax Number: (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_



6) Email Address: \_\_\_\_\_

**b) Agency(ies) Name and Contact Information for Quality Child Care Activities described in Part 5 of this Plan, if applicable.**

- 1) Name of Administrative Entity(ies): \_\_\_\_\_
- 2) Address of Administrative Entity(ies): \_\_\_\_\_
- 3) Name and Title of the Administrator: \_\_\_\_\_
- 4) Telephone: (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Ext: \_\_\_\_\_
- 5) Fax Number: (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_
- 6) Email Address: \_\_\_\_\_

**1.2.2.** How will the Tribal Lead Agency maintain overall control of the CCDF-funded program administered and implemented by the entities other than the Tribal Lead Agency?

Describe: \_\_\_\_\_

**Reminder:** Descriptions should be 1-2 paragraphs or less and should provide sufficient detail to enable a reader to understand how this process works or will work.

**Section 1.3. Estimated Funding**

These are preliminary ESTIMATES for information and planning purposes and may increase or decrease once the final grant awards are issued. **Note:** The current CCDF Tribal grantees should use their funding amount from the FY 2013 as an estimate pending the availability of the Final FY 2014 CCDF allocation. A new CCDF applicant should use the base amount plus approximately \$50 per child to estimate its allotment for Discretionary funding, and should use approximately \$90 per child to estimate its allotment for Tribal Mandatory funding. Put in the estimated amounts of the total FY 2014 CCDF allocations (mandatory and discretionary) for the **one-year period (10/1/2013 thru 9/30/2014)** that will be available on all child care and related services including funds for direct services, non-direct services, administration, and quality. Do not include any unobligated and/or unliquidated CCDF balances from previous years.

**1.3.1. Estimated FY 2014 CCDF Funding Allocation**

**What is your expected level of funding for the first year of the FY 2014 – FY 2015 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, 2013 through September 30, 2014. (98.13(a))

\$\_\_\_\_\_ Estimated Federal Child Care and Development Fund

\$\_\_\_\_\_ Other available funding

**Reminder:** Total administrative expenditures over the entire three-year liquidation period may not exceed 15% of total expenditures, not including the base amount.



**1.3.2. Estimated Amount of Funds to be used for Construction or Renovation**

This Application does not give approval to spend funds on construction or renovation. Funds for this purpose cannot be spent until a Tribe has applied for and received approval, through a separate application process, from the Administration for Children and Families.

As a part of the separate construction/renovation application process, a Tribe must show that adequate facilities are not otherwise available to carry out child care programs, and that the lack of facilities will inhibit future program operations. Furthermore, a Tribe cannot reduce the level of child care services, as compared to the preceding fiscal year, in order to spend funds on construction or renovation. Procedures regarding the separate construction/renovation application process are contained in CCDF-ACF-PI-2010-03, dated April 7, 2010 and regulations at 45 CFR 98.2 and 98.84.

Will the Tribal Lead Agency use 2014 funds for construction?

Yes. The Tribal Lead Agency estimates that the following amount of CCDF funds awarded in FY 2013 will be used for construction or renovation purposes:

\$ \_\_\_\_\_ (Insert the amount you will set aside for construction from FY 2014 allocation).

No.

**Section 1.4. Indian Child and Indian Reservation or Service Area**

**1.4.1. Indian Child**

Identify which Indian child(ren) will be counted in your child count. (658O(c)(2)(B), 98.80(e), 98.81(b)(2)(i) and (ii), 98.81(b)(3)(ii), 98.81(b)(4))

**Reminder:** While Tribes have some flexibility in defining “Indian Child,” the definition must be limited to children from federally recognized Indian Tribes, consistent with the Child Care and Development Block Grant Act’s definition of Indian Tribe.

The Tribal Lead Agency defines Indian child as: \_\_\_\_\_

**1.4.2. Indian Child Count**

The Tribal Lead Agency determines the number of Indian children, under age 13, who reside on or near the reservation, or service area. **The Tribal Lead Agency may not count any children who are included in the Child Count of another CCDF Tribal Lead Agency. The Tribal Lead Agency is required to confer with all other CCDF Tribal Lead Agencies that have overlapping or neighboring service areas.** (98.81(a)(4), 98.81 (b)(4))

Complete and attach the “Child Count Declaration” at **Appendix #2**.

**1.4.3. Indian Reservation or Service Area**

Programs and activities are to be carried out for the benefit of Indian children living on or near the Indian reservation. The service area must be within a reasonably close geographic proximity to the borders of a Tribe’s reservation (with the exception of Tribes in Alaska,



California, and Oklahoma). Tribes that do not have reservations must establish service areas within reasonably close geographic proximity to the area where the Tribe's population resides. ACF will not approve an entire state as a Tribe's service area. (658O(c)(2)(B), 98.80(e), 98.81(b)(2)(i) and (ii), 98.81(b)(3)(ii), 98.83(b))

**Reminder:** Tribes can limit services within the reservation boundaries or can go beyond the reservation boundaries (Example: "permanent residence is within the reservation boundaries, however the participant is attending school outside of the reservation area", or "resides within 20 miles of the reservation boundaries", etc.).

The Tribal Lead Agency defines the Reservation/Service Area as: \_\_\_\_\_

**Section 1.5. Consortium**

A consortium representing more than one Indian Tribe may be eligible to receive CCDF funds on behalf of a particular Tribe. The Consortium Lead Agency must list all participating Tribes and include an attachment with separate demonstrations (e.g. resolutions) from each Tribal consortium member indicating that the consortium has the authority to seek funding on behalf of its constituent Tribes. **If there is any change in the consortium membership, the Tribal Lead Agency must notify ACF through an amendment to the Plan.**

**1.5.1. Are you a Tribal Consortium?**

- Yes. If Yes, a Tribal consortium must provide a list of its participating member Tribes and include demonstrations; for example, Tribal Resolutions from the participating members indicating that the consortium has the authority to seek funding on their behalf. (98.80(c)(1), 98.81(b)(8)(i))

These demonstrations are provided as Attachment:\_\_\_\_\_ (Enter Attachment #s)

**Reminder:** For Alaska Native Regional Nonprofit Corporations, the list and demonstrations are for purposes of Discretionary Funds only.

- No. If No, skip to section 1.6.

**1.5.2. A Tribal consortium must describe how it coordinates services on behalf of its participating member Tribes. Include a brief summary of how the consortium is coordinating services (including direct services) on behalf of its participating members (or "constituent" members in the case of Alaskan entities). (98.81(b)(8)(ii),98.83(c)(1))**

Describe: \_\_\_\_\_

**Section 1.6. Program Integrity and Accountability  $\Delta$**

The Tribal Lead Agency, as the single point of contact for the administration of the program, is responsible for ensuring that policies and procedures are in place to monitor programs and services, ensure compliance with rules of the programs, and provide oversight in the expenditure of all funds, including misspent funds and fraud prevention and recovery. (98.11(b) (98.60(i)).





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**1.6.1.** What policies and procedures does the Tribal Lead Agency have in place to ensure that CCDF is in compliance with all Federal and Tribal rules and regulations?

Check and summarize all that apply:

- Eligibility determination and redetermination - Summarize: \_\_\_\_\_
- Parent co-payments - Summarize: \_\_\_\_\_
- Child care payments - Summarize: \_\_\_\_\_
- Oversight of sub-grantees and contractors - Summarize: \_\_\_\_\_
- Other, Describe: \_\_\_\_\_



## **Part 2 – Developing the Child Care Program**

### **Section 2.1. Consultation in the Development of the CCDF Plan**

Tribal Lead Agencies are required to consult with representatives of general purpose local governments in the development of the CCDF Plan. (658D(b), 98.12(b), 98.14(b), 98.16(d))

*Definition:* For the purposes of developing this Plan, consultation involves meeting with, or obtaining input from appropriate representatives of the Tribal community.

#### **2.1.1. Describe how the Tribal Lead Agency consulted with representatives of the Tribal community on the development of the Plan.**

Describe: \_\_\_\_\_

### **Section 2.2. Coordinating the Delivery of CCDF Services**

Tribal Lead Agencies are required to coordinate with other Tribal, Federal, State, and local child care [and](#), early childhood development programs, including such programs for the benefit of Indian children. (658D(b)(1)(D), 658O(c)(2)(A), 98.14 (a)(1), 98.16(d), 98.82(b))

#### **2.2.1. Describe how the Tribal Lead Agency coordinates the delivery of CCDF-funded child care services with other Tribal, Federal, State, and local child care, early childhood development programs, and before and after-school care services.**

Describe: \_\_\_\_\_

#### **2.2.2. Describe the results of the Tribal Lead Agency's required coordination activities with the following agencies, if applicable:**

- a) Public Health (including the agency responsible for immunizations)

Describe: \_\_\_\_\_

- b) Employment services or workforce development

Describe: \_\_\_\_\_

- c) Public Education

Describe: \_\_\_\_\_

- d) State Temporary Assistance for Needy Families (TANF) agency and/or Tribal TANF agency

Describe: \_\_\_\_\_

### **Section 2.3. Public Hearing Process**

The Tribal Lead Agencies are required to conduct a public hearing no earlier than January 1, 2013. The purpose of the public hearing is to provide the public an opportunity to comment on the provision



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of the child care services of the plan. Before holding the hearing, Tribal Lead Agency must provide a 20-day notice of the hearing throughout the Tribal Lead Agency's Service Area.

**Reminder:** Tribal Lead Agencies must make the contents of the plan available to the public in advance of the hearing. (98.14(a)(c)(3)) **must hold at least one public hearing** and the notice must be at least 20-days prior to the established hearing date(s).

**2.3.1.** Describe the Tribe's public hearing process to provide the general public an opportunity to comment on the provision of child care services under this plan. (658D(b)(1)(C), 98.14(c)(1-3), 98.16(e))

- a) Date of Public Hearing Notice: List date of notice(s): \_\_\_\_\_  
(Must be a least 20-days prior to the date of the public hearing)
- b) Date(s) of Public Hearing: List date of hearing(s): \_\_\_\_\_  
(Must be no earlier than January 1, 2013)
- c) Location(s) of the Public Hearing(s): \_\_\_\_\_
- d) How was the public notified of the public hearing? Check all that apply:
  - Parent Newsletter
  - Tribal/local Media
  - Posting on community bulletin board, etc.
  - Other (Specify): \_\_\_\_\_
- e) How was the content of the Plan made available throughout the service area prior to the public hearing?
  - CCDF Program Sites
  - Tribal Office
  - Tribal Website
  - Tribal Email
  - Other (Specify): \_\_\_\_\_
- f) Describe how the input from the Public Hearing(s) was taken into consideration in the in the provision of child care services under this Plan? \_\_\_\_\_

**Section 2.4. Public-Private Partnerships**

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

**Reminder:** Provide examples of partnerships or planned activities with the business community or other private organizations such as foundations. If there are no businesses, foundations, and/or charitable organizations within the Tribal Lead Agencies service area, please indicate.



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- Yes. If Yes, describe these activities or planned activities, including the results expected from the public-private partnership.

Describe: \_\_\_\_\_

- No. If No, state reason below.

Describe: \_\_\_\_\_



## Part 3 – Child Care Services Offered

This section focuses on the child care assistance program. Tribal Lead Agencies need to describe their efforts to inform parents about the subsidy program and application policies and procedures, eligibility criteria, how Tribal Lead Agencies ensure continuity of care and parental choice of high quality settings for families, and sliding fee scale and payment rate policies and procedures.

### **Section 3.1. Non-Exempt or Exempt Rule**

Non-Exempt Tribes (CCDF allocations equal to or greater than \$500,000) are required to operate a certificate program. Certificates must permit parents to choose from a variety of child care categories including center-based care, group home care, family child care and in-home care. (98.30(e))

Exempt Tribes (CCDF allocations less than \$500,000) are not required to operate a certificate program unless the Tribe chooses to include such services and the associated requirements in its program (98.81(b)(5)).

3.1.1 Based on the Tribe's anticipated CCDF allocation check which rule applies to the Tribal Lead Agency (Check only one):

- Non-Exempt (CCDF allocations equal to or greater than \$500,000 for a fiscal year)
- Exempt (CCDF allocations less than \$500,000 for a fiscal year)

### **Section 3.2. Description of Direct Child Care Services**

3.2.1. Check all appropriate boxes below to describe the direct child care services offered by the Tribal Lead Agency: (658A(b)(1), 658E(c)(3)(A)&(B), 658P(5)&(6), 98.16(g)(1), 98.30, 98.50)

a) A Certificate Program

- Yes, as a Non-exempt Tribe, we operate a Certificate Program as required (**skip to 3.2.1c**).
- Yes, as an Exempt Tribe we are not required but have chosen to operate a Certificate Program. Exempt Tribes may choose to select "Yes" if you provide the full categories of child care.

**Reminder:** The terms "certificate" and "voucher" are often used interchangeably but for the purposes of the Tribal Plan Preprint, we have chosen to make a distinction between the two terms. The term "certificate" is used to designate the program that allows parents a provider choice from all four categories of care (i.e., center-based care, group home care, family child care and in-home care). The term "voucher" is used for Exempt Tribes who operate like a certificate program, but offer parents fewer choices than the full four categories of care.

b) A Voucher Program (for Exempt Tribes Only)

The Lead Agency has the option to limit the categories of care offered to parents. The Lead Agency has chosen to offer the following categories of care:



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- Center-based                       Group-home  
 Family-home                       In-home

c) Grants or Contracts for Child Care Slots

Yes. Describe and identify any limitations: \_\_\_\_\_

d) Tribally-operated Center(s)

Yes, we operate tribal centers. If Yes, complete the table below.

No, the Tribal Lead Agency does not operate tribal centers.

Table 3.2.1.d. Tribal-Operated Center							
Identify Tribal Centers Center Name, City & State	Types of Services (Check all that apply)				Age Groups Served (Check all that apply)		
	Full-Time	Part-Time	Before/After School	Other Services (Describe)	Infant and Toddler	Preschool	School Age
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note: If the Tribal Lead Agency operates more than 8 tribal centers, please identify additional tribal centers as an attachment.

**3.2.2.** Are all of the child care services identified in 3.2.1 available throughout the entire service area? (658E(a), 98.16(g)(3))

- Yes.  
 No. If No, describe: \_\_\_\_\_



### **Section 3.3. Payment System**

**3.3.1.** Describe the child care certificate or voucher payment process using the questions below. (658E(c)(2)(A)(iii)), 658P(2), 98.2, 98.16(k) 98.30, 98.30(e)(1)(2))

a) A description of the child care certificate or voucher. Enter Attachment #: \_\_\_\_\_)

Describe: \_\_\_\_\_

b) When is the child care certificate (also referred to as the authorization) issued to parents?

Before parent has selected a provider

After parent has selected a provider

Other. Describe: \_\_\_\_\_

Non-Exempt Tribes must also answer the following questions:

c) How does the Tribal 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))

Check all options that the Tribe has chosen to implement.

Certificate form provides information about choice of providers.

Consumer education is provided at the time of application.

Parent Handbook provides information on parental choice.

Agency Web site: \_\_\_\_\_

Other. Describe: \_\_\_\_\_

d) If the Tribal Lead Agency is also providing child care services through grants and contracts, explain how it ensures that parents offered child care services are given the option of receiving a child care certificate.

Describe: \_\_\_\_\_

### **Section 3.4. Limitations of In-Home Care (i.e., Care in Child's Home)**

**3.4.1.** Does the Tribal Lead Agency allow for In-home care? (98.16(g)(2), 98.30(e)(1)(iv))

**Reminder:** Non-Exempt Tribal Lead Agencies must allow for in-home care (i.e., care provided in the child's own home) but may limit its use.

No. (Use this response only if an Exempt Tribe. Otherwise, skip to 3.5.)

Yes. If Yes, check what limits, if any, the Tribal Lead Agency will choose to 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.



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- Restricted based on hours of care (certain number of hours, nontraditional 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: \_\_\_\_\_

**Section 3.5. Eligibility Criteria for Child Care**

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 does not exceed 85 percent of the Tribe's or State's median income for a family of the same size; and (3) reside with a parent(s) or someone acting in loco parentis who is working or attending job training or an educational program or receiving or needs to receive protective services. (658E(c)(3)(B), 658P(3), 98.20(a)(b), 98.80(f), 98.81(b)(1))

**3.5.1. How does the Tribal Lead Agency define the following eligibility terms?**

- a) Residing with: \_\_\_\_\_
- b) In loco parentis (refers to an individual who assumes parental status and responsibilities for another child): \_\_\_\_\_

**3.5.2. Eligibility Criteria Based Upon Age**

- a) The Tribal Lead Agency serves children from \_\_\_\_\_ (indicate weeks/months/years) to \_\_\_\_\_ years (maximum age is through age 12).
- b) Does the Tribal Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(3), 98.20(a)(1)(ii))
  - Yes. The upper age is: \_\_\_\_\_  
Provide a definition of physical and mental incapacity: \_\_\_\_\_
  - No.
- c) Does the Tribal Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 who are under court supervision? (658P(3), 658E(c)(3)(B), 98.20(a)(1)(ii))
  - Yes. The upper age is: \_\_\_\_\_
  - No.





**3.5.3. Eligibility Criteria Based Upon Work, Job Training, or Educational Program**  
(98.16(g)(5), 98.20(a)(3)(i))

- a) Does the Tribal Lead Agency provide CCDF child care assistance to parents who are “working”?

**Reminder:** Lead Agencies have the flexibility to include any work-related activities in the definition of working, including periods of job search.

- Yes. If Yes, how does the Tribal Lead Agency define “working” for the purposes of eligibility?

Definition of Working: \_\_\_\_\_

- No.

- b) Does the Tribal Lead Agency provide CCDF child care assistance to parents who are attending job training?

**Reminder:** Lead Agencies have the flexibility to include any training related activities in the definition of job training.

- Yes. If Yes, how does the Tribal Lead Agency define “attending job training” for the purposes of eligibility?

Definition job training (include attendance requirements if applicable): \_\_\_\_\_

- No.

- c) Does the Tribal Lead Agency provide CCDF child care assistance to parents who are attending an educational program?

**Reminder:** Lead Agencies have the flexibility to include any education-related activities in the definition of education, including study time.

- Yes. If Yes, how does the Tribal Lead Agency define “educational program” for the purposes of eligibility?

Definition of educational program, to include attendance requirements if applicable:  
\_\_\_\_\_

- No.

**3.5.4. 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))



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**Reminder:** Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases, including but not limited to, homeless children. If the Lead Agency provides 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 must be included in this definition.

Yes. If Yes, how does the Lead Agency define “protective services” for the purposes of eligibility?

Definition of protective services: \_\_\_\_\_

No.

b) Does the Tribal 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.

c) Does the Tribal Lead Agency provide CCDF-funded child care to children in foster care whose foster care parent(s) are not working, or who is not in education/training activities? (98.20(a)(3)(ii), 98.16(f)(7))

Yes. (This means that for CCDF purposes, the Tribal Lead Agency considers these children to be served under the protective services eligibility category.)

No.

d) Does the Tribal Lead Agency provide respite child care to children in protective services? (98.16(f)(7))

**Reminder:** If Yes, you must include respite care under your definition of protective services in 3.5.4a.

Yes, and respite care is included under the Tribe’s definition of protective services.

No.

### 3.5.5. Income Eligibility

All eligible children must be under the age of 13 and reside with a family whose income does not exceed 85% of the Grantee Median Income (GMI) for a family of the same size. The Tribal Lead Agency may use the State Median Income (SMI) or income established by the Tribe as the grantee’s median income. (658E(c)(3)(B), 658P(4), 98.20, 98.80(f), 98.81(b)(1))

a) How does the Lead Agency define “income” for purposes of eligibility determination? (98.16(g)(5), 98.20(b))



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**Reminder:** The Tribe has flexibility in developing its definition of income. This flexibility allows for the excluding or deducting of certain types of income, as defined by the Tribe, from calculations of total family incomes for purposes of eligibility determination.

Definition of Income: \_\_\_\_\_

b) The law states that Tribes may establish income eligibility for child care under CCDF not to exceed 85% of the Grantees Median Income (GMI). The Tribal Lead Agency has selected to use (Check the appropriate box below):

State Median Income (SMI) for a family of the same size.

State: \_\_\_\_\_ Effective date of SMI: \_\_\_\_\_

Grantee Median Income (GMI) for a family of the same size residing in the area served by the Tribal Lead Agency.

Effective date of GMI: \_\_\_\_\_

c) Provide the CCDF income eligibility limits.

Income limits must be provided in terms of Grantee Median Income, even if Federal poverty level is used in implementing the program. (98.20(a)(2))

Complete column (a) and (b) of the matrix below based on the definition of GMI in 3.5.5a. Indicate Income Eligibility not to exceed 85% of the Grantee Median Income (GMI) in column (b) for a family of the same size. Complete column (c) **ONLY IF the Tribal Lead Agency is using income eligibility limits lower than 85% of the GMI – identify percentage used in calculation.**

<b>3.4.5. Grantee Median Income (GMI)</b>			
<b>Family Size</b>	<b>(a) 100% of GMI (For calculation purpose only) (\$/month)</b>	<b>(b) 85% of GMI (\$/month)</b>	<b>(c) Income eligibility, less than 85% GMI, if used to limit eligibility (\$/month)</b>
1	_____	_____	_____
2	_____	_____	_____
3	_____	_____	_____
4	_____	_____	_____
5	_____	_____	_____
6	_____	_____	_____
7	_____	_____	_____
8	_____	_____	_____



### 3.5.6. Additional CCDF Eligibility Criteria or Definition

Does the Tribal Lead Agency establish additional eligibility criteria, for example, higher income limits in one part of the tribal service area? (658E(a), 98.16(g)(5), 98.20(b))

Yes. If Yes, describe the additional eligibility criteria \_\_\_\_\_

No.

### Section 3.6. Priority Rules for Children

At a minimum, CCDF requires Lead Agencies to give priority for child care services to children with special needs. Prioritization of CCDF-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. (658E(c)(3)(B), 98.44(b)), 98.83(d))

#### 3.6.1. Priority Rules for Children with Special Needs

Tribal Lead Agencies have the flexibility in how they define “special needs”. Tribal Lead Agencies are not limited in defining children with special needs to only those children with physical or mental disabilities (e.g., with 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 in their definition of children with special needs.

a) How does the Tribal Lead Agency define “children with special needs?”

Definition of “children with special needs”: \_\_\_\_\_

b) Describe how the Tribal Lead Agency will give priority for child care services to children with special needs (658E(c)(3)(B), 98.44(b))

Describe: \_\_\_\_\_

#### 3.6.2. Additional Priority Rules

a) Does the Tribal Lead Agency have additional priority rules or categories? (658E(c)(3)(B), 98.16(g)(5), 98.20(b))

Yes If Yes, include the additional priority rules or categories to include a description and definition:

Definition and Description: \_\_\_\_\_

No.



**Section 3.7. Payment Rates for Child Care Services**

Lead Agencies are required to establish payment rates for child care services that ensure eligible families equal access to child care services comparable to those services provided to families not eligible to receive CCDF services. (658E(c)(4), 98.16(l), 98.43(a), 98.43(b), 98.43 (b)(1) and 98.43(b)(2)).

**3.7.1.** Attach a copy of your payment rates as Attachment. (Enter Attachment #: \_\_\_\_\_) Will the attached payment rates be used in all parts of the Tribal service area?

**Reminder:** The attached payment rates should reflect all the rates that cover the variety of care offered in your program. Tribal Lead Agencies are reminded that payment rates cannot be based on a family’s eligibility or circumstances. This means that the Lead Agency may not establish payments for TANF families that differ from the payments for child care for the working poor, or for families in education or training.

- Yes. Effective Date: \_\_\_\_\_
- No. Attach other payment rates as Attachment (Enter Attachment #: \_\_\_\_\_). Indicate their effective dates and describe or list the geographic areas where they are used:  
\_\_\_\_\_

**3.7.2.** Does the Tribal Lead Agency provide child care services **only** through a tribally-operated center(s) or grants and contracts?

**Reminder for Tribally Operated Centers:** For Lead Agencies that only offer direct services through a tribally-operated center, the Tribe could provide information about its CCDF budget, including the average cost of providing care per child, or information about what the center would charge a non-subsidized child for care in lieu of a payment rate schedule.

- Yes, if Yes attach information on cost of care per child, budget information or other documentation regarding the cost of child care services. (Enter Attachment #: \_\_\_\_\_)
- No.

**3.7.3. Market Rate Survey Requirements**

Tribal Lead Agencies are required to establish payment rates for child care services that ensure eligible families equal access to child care services comparable to those services provided to families not eligible to receive CCDF services. At a minimum, Tribal Lead Agencies are required to show how payment rates are adequate based on a local Market Rate Survey conducted no earlier than two years prior to the effective date of the currently approved Plan (i.e., between 10/1/11 and 6/30/13).

ACF recognizes that market rate surveys might not be feasible for some Tribal Lead Agencies and provides Lead Agencies with three options for fulfilling the local Market Rate Survey requirements: 1) conducting its own local Market Rate Survey, 2) using the State’s local Market Rate Survey, or 3) providing alternative documentation in lieu of a local Market Rate Survey if selected criteria are met.



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Which option does the Tribal Lead Agency use in fulfilling the local Market Rate Survey requirements? Please select only ONE option. (98.16(l), 98.43)

**Option 1** – the Tribal Lead Agency conducts its own MRS.

- a) Provide the date the MRS was conducted:        /        /
- b) Describe how the payment rates are adequate to ensure equal access based on the results of the market rate survey. At a minimum, indicate the relationship between the attached payment rates and the market rate observed in the survey. (i.e., the relationship between the attached payment rates and the market rates observed in the survey). What additional facts (if any) were considered, in addition to the market rate survey, to set the attached payment rates?

Describe: \_\_\_\_\_

**Option 2** – the Tribal Lead Agency uses the State’s MRS

- a) Identify the State(s) MRS: \_\_\_\_\_
- b) Provide the date the MRS was conducted: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_
- c) Describe how the payment rates are adequate to ensure equal access based on the results of the market rate survey. At a minimum, indicate the relationship between the attached payment rates and the market rate observed in the survey. (i.e., the relationship between the attached payment rates and the market rates observed in the survey). What additional facts (if any) were considered, in addition to the market rate survey, to set the attached payment rates?

Describe: \_\_\_\_\_

**Option 3** – the Tribal Lead Agency provides alternative documentation in lieu of a local MRS. The Tribal Lead Agency must identify and meet at least one of the following two criteria listed below and provide a description to support its choice.

Please select only one criteria.

**Criteria 1** – check if the Tribal Lead Agency:

- a) Provides CCDF direct services solely in Tribally operated facility(ies) and does not provide services through certificates/vouchers, grants, or contracts; **and/or**
- b) Funds CCDF direct services solely in unregulated home-based settings such as in-home care (i.e., care in the child’s own home) or unregulated family child care homes, and does not fund any CCDF services in centers, regulated family child care homes or regulated group homes.

Describe how the Tribal Lead Agency funds CCDF services solely in Tribally operated facility(ies) and does not provide services through certificates, vouchers, grants, or contracts; or provides direct services solely in unregulated home-based settings and does not provide any services through centers or regulated homes.

Describe: \_\_\_\_\_

**Criteria 2** – check if the Tribal Lead Agency:



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- a) Documents that all child care providers in the service area that would potentially be included in a market rate survey (a) serve only children receiving CCDF subsidies, and
- b) serve no private-pay children.

Describe how the Tribal Lead Agency determined that all providers serve only children receiving CCDF subsidies and serve no private-pay children, including a description of all relevant providers' types (i.e., centers, family child care, etc.) that were examined.

Describe: \_\_\_\_\_

**3.7.4. For Non-Exempt Tribes Only** – If the payment rates do not reflect for the full range of providers – center-based, group home, family child care home, and in-home care—explain how the choice of the full range of providers is made available to parents.

Describe: \_\_\_\_\_

**3.7.5. Tiered Reimbursement** - Will the Tribal Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for subsidized children?

- No.
- Yes. Check all types of tiered reimbursement or differential rates the Tribal Lead Agency has chosen to provide.
  - Nontraditional hours. Describe: \_\_\_\_\_
  - Children with special needs as defined by the Tribe: Describe: \_\_\_\_\_
  - Infants and toddlers. Describe: \_\_\_\_\_
  - School-age programs. Describe: \_\_\_\_\_
  - Higher quality as defined by the Tribe. Describe: \_\_\_\_\_
  - Other Rate. Describe: \_\_\_\_\_

**Section 3.8. Sliding Fee Scale(s)**

CCDF requires families to share in the cost of subsidized child care (658(E)(5), 98.42). The Tribal Lead Agency must establish a sliding fee scale that details each family's contribution(s) (i.e., "co-payment"). The sliding fee scale must vary based on **income and the size of the family**.

**3.8.1.** Attach a copy of the sliding fee scale (Enter Attachment # \_\_\_\_\_)

Will the attached sliding fee scale be used in all parts of the service area?

- Yes. Effective date: \_\_\_\_\_
- No. If No, attach other sliding fee scales and their effective date(s). Enter Attachment # \_\_\_\_\_



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**3.8.2.** Does the Tribal 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. Describe those additional factors: \_\_\_\_\_

No.

**3.8.3.** The Tribal Lead Agency may waive co-payments for families whose incomes are at or below the poverty level for a family of the same size. (98.42(c). The poverty level used by a Tribal Lead Agency for a family of 3 is \$\_\_\_\_\_ Check which option the Tribal Lead Agency has chosen to use:

**Reminder:** Tribal 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 3.5.4).

ALL families, including those with incomes at or below the poverty level 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.

SOME families with income at or below the poverty ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: \_\_\_\_\_

**3.8.4.** The following is a description of how the co-payments required by the Tribal Lead Agency's sliding fee scale(s) are affordable. (98.43(b)(3))

Describe: \_\_\_\_\_





## Part 4 – Procedures for Parents

In this section, the Tribal Lead Agency should provide a complete description of the application process for families, the procedures for providing parents with unlimited access to their children while they are in the care of a CCDF provider. Including how the Tribal Lead Agency maintains substantiated parental complaints and how such information is made available to the public upon request. (658E(c)(2)(D), 658D(b)(1)(A), 658E (c)(2)(C), 658E(c)(3)(B), 98.16(h), 98.30, 98.32).

### **Section 4.1. How Families Apply for CCDF**

**4.1.1.** How are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), 98.30(a))

- Tribal Lead Agency
- Public schools
- Early Head Start/Head Start
- Health Clinics
- TANF offices
- Other tribal offices
- Other governmental offices
- Community outreach meetings workshops or other in-person meetings
- Radio and/or television
- Internet (provide website): \_\_\_\_\_
- Other: Describe: \_\_\_\_\_

**4.1.2** **How can parents apply for CCDF services?** Check all application methods used by the Tribal Lead Agency.

- In Person interview or orientation
- By Mail
- By Phone/Fax
- Through the Internet, (provide website): \_\_\_\_\_
- By Email
- Other: Describe: \_\_\_\_\_

**4.1.2.** Describe how the Tribal Lead Agency documents and verifies the applicant information. (658K(a)(1), 98.70(a), 98.71(a))

Describe: \_\_\_\_\_

**4.1.3.** TANF Agency's Criteria/Definitions Regarding Inability to Obtain Care

The regulations at 98.33(b) require the Tribal 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



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TANF programs to ensure, that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth in the TANF statute and Plan.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency—which include both the Tribal TANF agency and the State TANF agency-- to determine whether the parent has a demonstrated inability to obtain needed child care:

**Reminder:** The TANF agency, not the Child Care Tribal 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. This question is for informational purposes.

a) Identify the TANF agency(ies) that established these criteria or definitions:

State(s) TANF Agency: \_\_\_\_\_

Tribal TANF Agency: \_\_\_\_\_

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

- “Appropriate child care”: \_\_\_\_\_
- “Reasonable distance”: \_\_\_\_\_
- “Unsuitability of informal child care”: \_\_\_\_\_
- “Affordable child care arrangements”: \_\_\_\_\_

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: \_\_\_\_\_

**4.1.4.** Is the application process for child care under CCDF different for families receiving TANF?  
 98.16(g)(4)

- Yes. If Yes, describe: \_\_\_\_\_
- No.

**Section 4.2. Description of Procedures for Unlimited Parental Access**

The Lead Agency shall have procedures to ensure that providers receiving CCDF funds afford parents unlimited access to their children, and access to the providers caring for their children, during normal hours of provider operation and whenever the children are in the care of the provider. (658E(c)(2)(B), 98.31, 98.16(n))

Describe how the Lead Agency ensures that parents have unlimited access: \_\_\_\_\_



**Section 4.3. Record of Substantiated Parental Complaints**

- a) Describe in detail how the Tribe maintains a record of substantiated parental complaints about a child care provider. (658E(c)(2)(C), 98.32, 98.16(m))

Describe: \_\_\_\_\_

- b) Describe in detail how the substantiated parental complaints are available to the public on request, including who should be contacted to receive them. (658E(c)(2)(C), 98.32, 98.16(m))

Describe: \_\_\_\_\_



**Part 5 – Activities and Services to Improve the Quality of Child Care**

In this section, Tribal Lead Agencies are asked to describe their needs, goals and activities for the implementation of child care quality improvement activities. Core elements of CCDF include quality investments and support systems for programs and staff. Tribes are encouraged, regardless of size, to take an intentional approach to quality improvement – assessing the current quality of care available and the training and technical assistance needs of providers; investing their quality funds and efforts in accordance with the needs; and reviewing the success of their activities to improve quality and making adjustments as necessary.

The Tribal Lead Agency should consider its goals for a child care quality improvement system for all families, not just those receiving assistance under CCDF. (658G, 658E(c)(3)(B), 98.16(h), 98.51, 98.83(f))

**Reminder:** CCDF regulations require non-exempt Lead Agencies (those receiving \$500,000 or more) to spend at least 4 percent on quality activities. These activities may include, but are not limited to; activities designed to provide comprehensive consumer education, increased parental choice, and to improve the availability and quality of child care services.

Exempt Lead Agencies (those receiving less than \$500,000) are strongly encouraged to spend CCDF funds on quality activities but are not required to meet the 4 percent provision.

**Section 5.1. Quality Improvement Needs**

5.1.1. How does the Tribal Lead Agency learn about the quality of care currently offered and the training needs of providers?

**Note:** Tribes make their own decisions about how to determine their needs and make investments. For technical assistance purposes, ACF would like to learn how Tribes perform these functions – from the use of formal tools to determine the quality of programs to more informal methods to learn about the needs of caregivers.

Describe: \_\_\_\_\_

**Section 5.2. Quality Improvement Goals**

In the upcoming Biennium, describe the Tribal Lead Agency’s goals for improving the quality of care in your program. (Responses will be used to guide future training and technical assistance provided by OCC.)

Describe: \_\_\_\_\_

**Section 5.3. Quality Improvement Activities**

Identify the quality improvement activities the Tribal Lead Agency intends to implement during this plan period. As this list is not exclusive, Tribal Lead Agencies can use the “Other” box for additional activities. Tribal Lead Agencies can also choose to include a description of each activity checked using the Other box.



**a) Quality Training Activities**

Training Topics  $\Delta$

- Child development
- Infant and toddler child care
- Physical activity and nutrition
- Language and literacy
- Inclusive child care for special needs children
- Health and safety
- Social-emotional development
- Fiscal management
- Administration and program management
- Curriculum development and instruction
- Child Care as a business
- Other topic(s): \_\_\_\_\_

Optional: Describe any of the activities checked above: \_\_\_\_\_

Strategies for Making Training Accessible  $\Delta$

- Grants or stipends for attending training events
- Time off to attend training
- Make substitute providers available
- Other: Describe: \_\_\_\_\_

Optional: Describe any of the activities checked above: \_\_\_\_\_

Training Outcomes

- Certificate
- Credential
- Degree
- Credit towards required training hours
- Other: Describe: \_\_\_\_\_

Optional: Describe any of the activities checked above: \_\_\_\_\_

**b) Assisting Providers in meeting Licensing and Health and Safety Standards**  $\Delta$

- Provide health and safety materials/equipment
- Grants/mini-grants for health and safety equipment/materials
- Classroom materials and resources
- Financial assistance in meeting licensing requirements
- Other: Describe: \_\_\_\_\_



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Optional: Describe any of the activities checked above: \_\_\_\_\_

**c) Consumer Education**

- Resource and referral services
- Resource library for parents and providers
- Newsletters for providers and parents
- Parent handbooks
- Toy lending library
- Internet-based consumer education on quality child care
- Other: Describe: \_\_\_\_\_

Optional: Describe any of the activities checked above: \_\_\_\_\_

**d) Staff Compensation & Financial Incentives for Programs**

- Supplement wages of staff
- Bonuses to recruit providers caring for infants/toddlers or other areas of provider shortages
- Increase staff compensation in blended Child Care/Head Start programs
- Bonuses to higher quality programs
- Implement cash and non-cash career-ladder incentives
- Other: Describe: \_\_\_\_\_

Optional: Describe any of the activities checked above: \_\_\_\_\_

**e) School-Age Child Care Activities  $\Delta$**

- Cultural activities with elders (e.g., regalia making)
- Culturally-based summer youth programs
- Mentoring program
- Drug prevention program
- Teen pregnancy prevention programs
- Other: Describe: \_\_\_\_\_

Optional: Describe any of the activities checked above: \_\_\_\_\_

**f) Culturally Relevant Activities  $\Delta$**

- Tribal language immersion programs
- Integration of storytellers in child care programs
- Cultural training opportunities for parents and providers
- Cultural training to non-Native providers
- Other: Describe: \_\_\_\_\_



Optional: Describe any of the activities checked above: \_\_\_\_\_

**g) Quality Support for Programs Δ**

- Grants to programs to expand quality activities
- Health Consultation or other related activities
- Assessment of classroom practice
- Integrating children with special needs (creating inclusive child care settings)
- Higher rates for programs caring for infants and toddlers
- Other: Describe: \_\_\_\_\_

Optional: Describe any of the activities checked above: \_\_\_\_\_

**5.4. Quality Improvement Initiatives for Relative Caregivers or other Small Home-based Providers**

Does Tribal Lead Agency have quality improvement initiatives specifically for relative caregivers or other small home-based providers that are not described in your answers above?

- Yes. If Yes, describe: \_\_\_\_\_
- No.

**5.5. School-Age Care and Resource and Referral Activities**

Tribal Lead Agencies are required to spend a specific amount on developing and improving School-Age Care activities and/or Resource and Referral services.

How does the Tribal Lead Agency intend to use these funds?

Describe: \_\_\_\_\_

**5.6. Child and Adult Care Food Program (CACFP)**

The US Department of Agriculture's Child and Adult Care Food Program (CACFP) plays a vital role in improving the quality of care for children by providing financial support for meals served in child care settings.

a) Does the Tribal Lead Agency participate in the Child and Adult Care Food Program (CACFP)?

- Yes. Identify which programs participate, for example Centers, Family Child Care, etc. \_\_\_\_\_
- No
- Tribe participates in CACFP but CCDF is not included



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b) If the answer to 5.6.(a) is no, please indicate reasons why the Tribal Lead Agency does not participate in CACFP.

- No CACFP sponsoring agency locally
- Difficult to complete initial CACFP application
- Difficult to maintain required CACFP documentation
- Not eligible to participate for the following reason(s): \_\_\_\_\_
- Do not have enough information about CACFP
- Not Interested
- Other, describe: \_\_\_\_\_





**Part 6 – Health and Safety Requirements for Providers**

**Activities to Ensure the Health and Safety of Children in Child Care**

This section is intended to collect information on how Tribal Lead Agencies meet the statutory and regulatory provisions related to health and safety and how these requirements are effectively enforced. In the following pages, provide the appropriate responses for each category of care offered addressing the CCDF health and safety requirements.

The CCDF health and safety requirements at 98.41 require Lead Agencies to have health and safety requirements in the following areas:

- Prevention and Control of Infectious Disease (including immunizations)
- Building and Physical Premises Safety; and
- Health and Safety training.

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.

**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.

**Group Home Child Care:** 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.

**Family Child Care:** 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.

**In-Home Care:** In-home child care provider is defined as an individual who provides child care services in the child's own home.

**6.1. Health and Safety Requirements - Centers**

**6.1.1** Check the health and safety requirements for **prevention and control of infectious disease.** (658E(c)(2)(F)(i), 98.41(a)(1)).

<b>Prevention and Control of Infectious Disease topics</b>	<b>Check if required for providers</b>	<b>Check if required for children</b>
<input type="checkbox"/> Physical exam or health statement	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Tuberculosis check	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Immunizations	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Hand-washing policy	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Diapering policy and procedures		



Prevention and Control of Infectious Disease topics	Check if required for providers	Check if required for children
<input type="checkbox"/> Providers required to submit a self-certification or complete health and safety checklist		
<input type="checkbox"/> Other. Describe _____		

**6.1.2 Check the health and safety requirements for building and physical premises safety.**  
 (658E(c)(2)(F)(ii), 98.41(a)(2))

- Building inspection
- Fire inspection, safety and evacuation policy
- Accessibility for people with disabilities
- Health inspection
- Toxic substances policy
- Lead paint policy
- Transportation policy
- Safety policy for bodies of water, including swimming pools
- Safe sleep policy, including SIDS prevention
- Providers to submit a self-certification or complete health and safety checklist
- Tobacco exposure reduction
- Group size limits based on age of children
- Staff child ratio based on ages of children
- Other: Describe \_\_\_\_\_

**6.1.3 Health and Safety Training – Centers**

**6.1.3.a. Check the health and safety requirements for health and safety training.**  
 (658E(c)(2)(F)(iii), 98.41(a)(3))

<b>Table 6.1.1.a. Health and Safety Training - Centers</b>		
Tribal Lead Agencies have the flexibility to define these terms, for this question, “pre-service” refers to any training that happens prior to a person starting or shortly thereafter (e.g., first week, etc). “On-going” would be some type of routine occurrence.		
Health and safety training requirements	Pre-Service	On-Going
<input type="checkbox"/> Cardiopulmonary resuscitation (CPR)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> First Aid	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Training on Infectious Diseases	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> SIDS Prevention (i.e., Safe Sleep)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Medication Administration	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Mandatory Reporting of Suspected Abuse or Neglect	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Child Development	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Supervision of Children	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Behavior Management	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Nutrition	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Breastfeeding	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tobacco Exposure Reduction	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Physical Activity	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Working with Children with Special Needs or Disabilities	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Emergency Preparedness and Response	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>



6.1.3.b Does the Tribal Lead Agency require child care center directors and providers to complete a specific number of training hours per year?

Yes. If “Yes”, indicate the requirements for directors and providers below.

Indicate requirements for directors:

- At least 30 training hours required in first year
- At least 24 training hours per year after first year
- Other: \_\_\_\_\_

Indicate requirements for providers:

- At least 30 training hours required in first year
- At least 24 training hours per year after first year
- Other: \_\_\_\_\_

No.

**6.2. Health and Safety Requirements - Group Home Child Care**

6.2.1 Check the health and safety requirements for **prevention and control of infectious disease**. (658E(c)(2)(F)(i), 98.41(a)(1)).

<b>Prevention and Control of Infectious Disease topics</b>	<b>Check if required for providers</b>	<b>Check if required for children</b>
<input type="checkbox"/> Physical exam or health statement	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Tuberculosis check	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Immunizations	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Hand-washing policy	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Diapering policy and procedures		
<input type="checkbox"/> Providers required to submit a self-certification or complete health and safety checklist		
<input type="checkbox"/> Other. Describe _____		

**6.2.2 Building and Premises Safety – Group Home Child Care**

Check the health and safety requirements for **building and physical premises safety**. (658E(c)(2)(F)(ii), 98.41(a)(2))

- Building inspection
- Fire inspection, safety and evacuation policy
- Accessibility for people with disabilities
- Health inspection
- Toxic substances policy
- Lead paint policy
- Transportation policy
- Safety policy for bodies of water, including swimming pools
- Safe sleep policy, including SIDS prevention
- Providers to submit a self-certification or complete health and safety checklist
- Tobacco exposure reduction
- Group size limits based on age of children
- Staff child ratio based on ages of children
- Other: Describe \_\_\_\_\_



**6.2.3 Health and Safety Training – Group Home Child Care**

6.2.3.a Check the health and safety requirements for **health and safety training**. (658E(c)(2)(F)(iii), 98.41(a)(3))

<b>Table 6.2.3.a. – Health and Safety Training – Group Home Child Care</b>		
Tribal Lead Agencies have the flexibility to define these terms, for this question, “pre-service” refers to any training that happens prior to a person starting or shortly thereafter (e.g., first week, etc). “On-going” would be some type of routine occurrence.		
<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
<input type="checkbox"/> Cardiopulmonary resuscitation (CPR)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> First Aid	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Training on Infectious Diseases	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> SIDS Prevention (i.e., Safe Sleep)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Medication Administration	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Mandatory Reporting of Suspected Abuse or Neglect	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Child Development	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Supervision of Children	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Behavior Management	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Nutrition	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Breastfeeding	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tobacco Exposure Reduction	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Physical Activity	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Working with Children with Special Needs or Disabilities	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Emergency Preparedness and Response	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>

6.2.3.b Does the Tribal Lead Agency require group home child care providers to complete a specific number of training hours per year

Yes. If “Yes”, indicate the requirements for group child care home providers below.

Indicate requirements for directors:

- At least 30 training hours required in first year
- At least 24 training hours per year after first year
- Other: \_\_\_\_\_

Indicate requirements for providers:

- At least 30 training hours required in first year
- At least 24 training hours per year after first year
- Other: \_\_\_\_\_

No.

**6.3 Health and Safety Requirements – Family Child Care Homes (Care in the provider’s home)**

6.3.1 Check the health and safety requirements for **prevention and control of infectious disease**. (658E(c)(2)(F)(i), 98.41(a)(1)).



Prevention and Control of Infectious Disease topics	Check if required for providers	Check if required for children
<input type="checkbox"/> Physical exam or health statement	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Tuberculosis check	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Immunizations	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Hand-washing policy	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Diapering policy and procedures		
<input type="checkbox"/> Providers required to submit a self-certification or complete health and safety checklist		
<input type="checkbox"/> Other. Describe _____		

**6.3.2 Check the health and safety requirements for building and physical premises safety.**  
 (658E(c)(2)(F)(ii), 98.41(a)(2))

- Building inspection
- Fire inspection, safety and evacuation policy
- Accessibility for people with disabilities
- Health inspection
- Toxic substances policy
- Lead paint policy
- Transportation policy
- Safety policy for bodies of water, including swimming pools
- Safe sleep policy, including SIDS prevention
- Providers to submit a self-certification or complete health and safety checklist
- Tobacco exposure reduction
- Group size limits based on age of children
- Staff child ratio based on ages of children
- Other: Describe \_\_\_\_\_

**6.3.3 Health and Safety Training – Family Child Care Homes (Care in the provider’s home)**

**6.3.3.a Check the health and safety requirements for health and safety training.** (658E(c)(2)(F)(iii), 98.41(a)(3))

<b>Table 6.3.3.a Health and Safety Training – Family Child Care Homes</b>		
Tribal Lead Agencies have the flexibility to define these terms, for this question, “pre-service” refers to any training that happens prior to a person starting or shortly thereafter (e.g., first week, etc). “On-going” would be some type of routine occurrence.		
Health and safety training requirements	Pre-Service	On-Going
<input type="checkbox"/> Cardiopulmonary resuscitation (CPR)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> First Aid	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Training on Infectious Diseases	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> SIDS Prevention (i.e., Safe Sleep)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Medication Administration	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Mandatory Reporting of Suspected Abuse or Neglect	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Child Development	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Supervision of Children	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Behavior Management	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Nutrition	<input type="checkbox"/>	<input type="checkbox"/>



<b>Table 6.3.3.a Health and Safety Training – Family Child Care Homes</b>		
Tribal Lead Agencies have the flexibility to define these terms, for this question, “pre-service” refers to any training that happens prior to a person starting or shortly thereafter (e.g., first week, etc). “On-going” would be some type of routine occurrence.		
<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
<input type="checkbox"/> Breastfeeding	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tobacco Exposure Reduction	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Physical Activity	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Working with Children with Special Needs or Disabilities	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Emergency Preparedness and Response	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other: Describe _____	<input type="checkbox"/>	<input type="checkbox"/>

6.3.3.b Does the Tribal Lead Agency require family child care home providers to complete a specific number of training hours per year?

Yes. If “Yes”, indicate the requirements for family child care home providers below.

Indicate requirements for providers:

- At least 30 training hours required in first year
- At least 24 training hours per year after first year
- Other: \_\_\_\_\_

No.

**6.4. Health and Safety Requirements – In-Home Child Care (Care in the child’s home)**

6.4.1 Check the health and safety requirements for **prevention and control of infectious disease.** (658E(c)(2)(F)(i), 98.41(a)(1)).

<b>Prevention and Control of Infectious Disease topics</b>	<b>Check if required for providers</b>	<b>Check if required for children</b>
<input type="checkbox"/> Physical exam or health statement	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Tuberculosis check	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Immunizations	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Hand-washing policy	<input type="checkbox"/> For providers	<input type="checkbox"/> For children
<input type="checkbox"/> Diapering policy and procedures		
<input type="checkbox"/> Providers required to submit a self-certification or complete health and safety checklist		
<input type="checkbox"/> Other. Describe _____		

**6.4.2 Building and Premises Safety – In-Home Child Care**

Check the health and safety requirements for **building and physical premises safety.** (658E(c)(2)(F)(ii), 98.41(a)(2))

- Building inspection
- Fire inspection, safety and evacuation policy
- Accessibility for people with disabilities
- Health inspection
- Toxic substances policy



- Lead paint policy
- Transportation policy
- Safety policy for bodies of water, including swimming pools
- Safe sleep policy, including SIDS prevention
- Providers to submit a self-certification or complete health and safety checklist
- Tobacco exposure reduction
- Group size limits based on age of children
- Staff child ratio based on ages of children
- Other: Describe \_\_\_\_\_

### 6.4.3 Health and Safety Training – In-Home Child Care

6.4.3.a Check the health and safety requirements for **health and safety training**. (658E(c)(2)(F)(iii), 98.41(a)(3))

<b>6.4.3.a. Health and Safety Requirements – In-Home Care</b>		
Tribal Lead Agencies have the flexibility to define these terms, for this question, “pre-service” refers to any training that happens prior to a person starting or shortly thereafter (e.g., first week, etc). “On-going” would be some type of routine occurrence.		
<b>Health and safety training requirements</b>	<b>Pre-Service</b>	<b>On-Going</b>
<input type="checkbox"/> Cardiopulmonary resuscitation (CPR)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> First Aid	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Training on Infectious Diseases	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> SIDS Prevention (i.e., Safe Sleep)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Medication Administration	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Mandatory Reporting of Suspected Abuse or Neglect	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Child Development	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Supervision of Children	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Behavior Management	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Nutrition	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Breastfeeding	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tobacco Exposure Reduction	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Physical Activity	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Working with Children with Special Needs or Disabilities	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Emergency Preparedness and Response	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>

6.4.3.b Does the Tribal Lead Agency require in-home child care providers to complete a specific number of training hours per year?

- Yes. If “Yes”, indicate the requirements for family child care home providers below.

Indicate requirements for providers:

- At least 30 training hours required in first year
- At least 24 training hours per year after first year
- Other: \_\_\_\_\_

- No.



**6.5. Exemptions for Relative Providers**

A Tribal Lead Agency has the option to exempt the following relatives from some or all of its health and safety requirements: grandparents, great-grandparents, siblings (if living in a separate residence), aunts, and uncles.

Does the Tribal Lead Agency exempt relative providers from the health and safety requirements described in 6.4? (658)(4)(B), 98.41(e)).

- Yes, all relative providers are exempt from all health and safety requirements
- Some or all relative providers are subject to different health and safety requirements from those described in Section 6.4 and the following describes those different requirement and which relatives they apply to;  
 Describe \_\_\_\_\_
- No, all relative providers are subject to the same requirements as described in Section 6.4 as appropriate; there are no exemptions for relatives or different requirements for them.

**Section 6.6. Monitoring and Enforcement of Health and Safety Requirements**

The Tribal Lead Agency is required to certify 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)(E), 658E(c)(2)(G), 98.40(a)(2), 98.41(d))

In this section, use the series of questions below to describe how the Tribal Lead Agency effectively enforces the applicable health and safety requirements. Check the appropriate box below that best describes monitoring visits (announced and unannounced), background checks and any other enforcement policies and practices that govern Tribal child care programs.

**6.6.1. Monitoring Visits – Announced and Unannounced**

Does the Tribal Lead Agency include **announced** and/or **unannounced** monitoring visits in its policies as a way to effectively enforce the applicable child care requirements?

- Yes. If “Yes” please refer to the chart 6.6.1 below and check all that apply.
- No.

<b>Table 6.6.1 Information on Monitoring and Inspections carried out by the Tribal Lead Agency or other tribal entity.</b>		
<b>Provider Categories</b>	<b>Frequency of Routine Announced Visits</b>	<b>Frequency of Routine Unannounced Visits</b>
<input type="checkbox"/> Center-Based	<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 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 type="checkbox"/> Family Child Care Home	<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 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: _____





<b>Table 6.6.1 Information on Monitoring and Inspections carried out by the Tribal Lead Agency or other tribal entity.</b>		
<b>Provider Categories</b>	<b>Frequency of Routine Announced Visits</b>	<b>Frequency of Routine Unannounced Visits</b>
<input type="checkbox"/> Group Home	<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 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 type="checkbox"/> In-Home 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 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: _____

### 6.6.2 Background Checks

Tribal Lead Agencies may have agreements with Federal, State, or Tribal entities that conduct background checks of providers and employees. Some Tribal Lead Agencies have entered into agreements with Tribal law enforcement to conduct background checks.

Does the Tribal Lead Agency use background checks as a way to effectively enforce health and safety requirements?

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

<b>Table 6.6.2 Background Checks (Check all that apply) Δ</b>				
Check all requirements that the Lead Agency has chosen to implement:	For each requirement checked, identify which providers must meet the requirement.			
	Center-based	Group Family Child Care home	Family Child Care home	In-home
Child Abuse Registry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tribal Criminal Background <input type="checkbox"/> Check here if the Tribal background checks include fingerprints.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State Criminal Background <input type="checkbox"/> Check here if the State background checks include fingerprints.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FBI Criminal Background	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sex Offender Registry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: Describe: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**6.6.3 Enforcement of Health and Safety Standards**

What methods does the Tribal Lead Agency use to effectively enforce CCDF health and safety requirements?

- Conduct regular training on the Health and Safety requirements
- Develop corrective action plan to address issues
- Conduct follow up to monitor corrective action progress
- Fines
- Injunctions through court
- Emergency or immediate closure not through court action
- License or certificate revocation, probation, or non-renewal
- Other: Describe: \_\_\_\_\_

**6.6.4** Does the Tribal Lead Agency disseminate information to parents and the public, about child care program compliance records?

- Yes. If Yes, describe: \_\_\_\_\_
- No.

**6.7 Tribal Licensing Requirements** △

Many Tribes have adopted policies and licensing standards from a variety of sources. In some cases, these policies may serve as the Tribe’s licensing standards. In other cases, the Tribe may use only portions of the policies. Indicate below whether the Tribe uses policies or licensing standards from the sources listed below and whether the policies serve as the tribal licensing standards or have been adapted by the Tribe in some way.

Source	Serves as Tribal Licensing Standards	Tribe Adapted Portions from the Source
Minimum Tribal Child Care Standards	<input type="checkbox"/>	<input type="checkbox"/>
Caring for Our Children or Stepping Stones	<input type="checkbox"/>	<input type="checkbox"/>
State licensing standards. If so, list state(s): _____	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>



## APPENDIX 1

### CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Tribal Lead Agency is designated by the Tribe (or Tribal consortium) to represent the Tribe (or Tribal organization).

The Tribal Lead Agency agrees to follow the Federal laws and regulations that apply to the CCDF program and to follow this Plan, when approved, including the following assurances and certifications.

The Tribal Lead Agency assures that:

- (1) Upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a), 98.15(a)(1))
- (2) The parent(s) of each eligible child within the Tribe or Tribal service area who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service or to receive a child care certificate. (658E(c)(2)(A)(i), 98.2, 98.30, 98.15(a)(2)) **[Exempt Tribal Lead Agencies are not required to operate certificate programs.]**
- (3) In cases in which the parent(s) elect(s) to enroll the child with a provider that has a grant or contract with the Tribal Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii), 98.15(a)(3), 98.30)
- (4) The child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii), 98.15(a)(4), 98.30) **[Exempt Tribal Lead Agencies are not required to operate certificate programs.]**
- (5) The Tribe, or Tribal consortium, will coordinate, to the maximum extent feasible, with the Tribal Lead Agency(ies) in the State(s) in which the child care programs or activities will be carried out. (98.12, 98.14(a)&(b), 98.81(b)(3)(i), 98.82)
- (6) Tribal Child Care and Development Fund (CCDF) programs and activities will be carried out for the benefit of Indian children on an Indian reservation (except for Programs located in Alaska, California, or Oklahoma). (98.81(b)(3)(ii), 98.83(b))
- (7) With respect to State and local regulatory requirements (or Tribal regulatory requirements), health and safety requirements, payment rates, and registration requirements, State or local (or Tribal) rules, procedures or other requirements promulgated for the purpose of the CCDF will not significantly restrict parental choice from among categories of care or types of providers. (658E(c)(2)(A), 98.15(a)(5), 98.15(p), 98.30(e)&(f), 98.40(b)(2), 98.41(b), 98.43(d), 98.45(d))



PLAN FOR: **DRAFT 02-20-13**  
CHILD CARE & DEVELOPMENT FUND  
Plan Period 10/1/13 – 9/30/15

The Tribal Lead Agency certifies that:

- (1) It has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund (CCDF) afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B), 98.15(b)(1), 98.31)
- (2) It maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C), 98.15(b)(2), 98.32)
- (3) It 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)(D), 98.15(b)(3), 98.33)
- (4) There are licensing requirements in effect that are applicable to child care services provided within the area served by the Tribal Lead Agency pursuant to 98.40. (98.15(b)(4), 98.40)
- (5) There are—under Tribal, local, or State law—requirements in effect designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the CCDF. (658E(c)(2)(F), 98.15(b)(5), 98.41)
- (6) Procedures are in effect to ensure that child care providers that provide services for which assistance is provided under the CCDF comply with all applicable health and safety requirements. (658E(c)(2)(G), 98.15(b)(6), 98.41)
- (7) Payment rates under the CCDF for the provision of child care services will be sufficient to ensure equal access for eligible children to comparable child care services in the Tribe or Tribal service area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A), 98.15(b)(7), 98.43)
- (8) By the end of each three-year funding period (expenditure period for each Federal fiscal year's grant funding), the Tribe must have expenditures that are equal to grant funds received for that fiscal year. (98.67(c))



PLAN FOR: **DRAFT 02-20-13**  
 CHILD CARE & DEVELOPMENT FUND  
 Plan Period 10/1/13 – 9/30/15

**APPENDIX 2**

**CHILD COUNT DECLARATION**

**Federal Fiscal Year:** \_\_\_\_\_

Name of Tribe/Tribal Lead Agency: \_\_\_\_\_

This certifies that the number of Indian children under age 13 who reside on or near the reservation or service area is: \_\_\_\_\_ (number)

The Tribe/Tribal Lead Agency may not count any children who are included in the Child Count of another CCDF Tribe/Tribal Lead Agency. To ensure unduplicated child counts, a Tribe/Tribal Lead Agency is required to confer with all other CCDF Tribe/Tribal Lead Agencies that have overlapping or neighboring service areas.

This count shows the number of Indian children under age 13 as of (date) \_\_\_\_\_

\_\_\_\_\_  
**Official Signature** of Individual Authorized to Act for the Tribe

Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

\_\_\_\_\_  
 Type or Write Name and Title



PLAN FOR: **DRAFT 02-20-13**  
 CHILD CARE & DEVELOPMENT FUND  
 Plan Period 10/1/13 – 9/30/15

**CHILD COUNT DECLARATION**  
**(P.L. 102-477 Tribe)**

**Federal Fiscal Year:** \_\_\_\_\_

Name of Tribe/Tribal Lead Agency: \_\_\_\_\_

This certifies that the number of Indian children under age 13 (as defined in the CCDF section of the 102-477 plan) who reside on or near the reservation or service area (as defined in the CCDF section of the 102-477 plan) is: \_\_\_\_\_ (number)

The Tribe/Tribal Lead Agency may not count any children who are included in the Child Count of another CCDF Tribe/Tribal Lead Agency. To ensure unduplicated child counts, a Tribe/Tribal Lead Agency is required to confer with all other CCDF Tribe/Tribal Lead Agencies that have overlapping or neighboring service areas.

This count shows the number of Indian children under age 13 as of date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

\_\_\_\_\_  
**Official Signature** of Individual Authorized to Act for the Tribe      Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

\_\_\_\_\_  
 Type or Write Name and Title

**REQUEST FOR REALLOTTED TRIBAL DISCRETIONARY FUNDS**

The Tribe named above requests Discretionary Funds that may be available through the reallocation process.

Yes       No



### APPENDIX 3

#### AMENDMENTS LOG

Child Care and Development Fund Plan  
For the period: 10/1/2013 –9/30/2015

Tribal Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a “substantial” change in the Tribal Lead Agency’s approved CCDF plan occurs. Please refer to the ACF Program Instruction regarding CCDF Plan amendments for more information <http://www.acf.hhs.gov/programs/occ/resource/pi-2009-01>

Plan amendments must be submitted to ACF within 60 days of the effective date of the change. Under the regulation, the plan amendment must be approved no later than the 90th day following the date on which the amendment is received by ACF unless the Lead Agency and ACF mutually agree in writing to extend the period. (§98.18 (b)).

ACF encourages Tribal Lead Agencies to contact the Child Care program staff in the appropriate ACF Regional Office to discuss any proposed amendment as early as possible.

#### Instructions:

- (1) Tribal Lead Agency completes the first 3 columns and sends a photocopy of this log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional contact. A copy of the log, showing the latest amendment pending in ACF, is retained in the Tribal Lead Agency’s Plan.
- (2) ACF completes column 4 and returns a photocopy of the log to the Tribal Lead Agency.
- (3) The Tribal Lead Agency replaces this page in the Plan with the copy of the log received from ACF showing the approval date.
- (4) Program Instruction CCDF-ACF-PI-2009-01 provides specific details and timelines specific to the plan amendment process.

Reminder: This process depends on repeated subsequent use of the same log page over the life of the Plan. At any time the log should reflect all amendments, both approved and pending in ACF. The Tribal Lead Agency is advised to retain those “old” plan pages that are superseded by amendments in a separate appendix to its Plan.







## APPENDIX 4

### LIST OF CERTIFICATIONS

New Tribal CCDF applicants must complete and submit the following certifications as Appendix 4 of their Tribal plan preprint:

- Assurance of compliance with Title VI of the Civil Rights Act of 1964
- Certification regarding debarment (includes definitions for use with the certification of debarment)
- HHS certification regarding drug-free workplace requirements
- Certification of compliance with the Pro-Child Act of 1994

New applicants should contact their ACF Regional Office to obtain copies of the required certifications.

Current Tribal Lead Agencies were previously required to submit these certifications with their 2-year plan preprint. Therefore, the certifications do not need to be submitted again. Tribes are reminded that even if they have changed their Tribal Lead Agency, the certifications apply to the successor agency.