OMB Control No: 0970-0114

Expiration date: 12/31/2021

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 200 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and completing the form.

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.

Child Care and Development Fund (CCDF) Plan

for

State/Territory _____

FFY 2019–2021

This Plan describes the Child Care and Development Fund program to be administered by the State or Territory for the period from 10/1/2018 to 9/30/2021, as provided for in the applicable statutes and regulations. The Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described.

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

Table of Contents

Introduction and How to Approach Plan Development 1

1 Define CCDF Leadership and Coordination with Relevant Systems 3
1.1 CCDF Leadership 3
1.2 CCDF Policy Decision Authority 4
1.3 Consultation in the Development of the CCDF Plan 7
1.4 Coordination with Partners to Expand Accessibility and Continuity of Care 8
1.5 Optional Use of Combined Funds, CCDF Matching and Maintenance-of-Effort Funds 11
1.6 Public-Private Partnerships 13
1.7 Coordination with Local or Regional Child Care Resource and Referral Systems 14
1.8 Disaster Preparedness and Response Plan 14

2 Promote Family Engagement through Outreach and Consumer Education 16
2.1 Outreach to Families with Limited English Proficiency and Persons with Disabilities 16
2.2 Parental Complaint Process 17
2.3 Consumer Education Website 18
2.4 Additional Consumer and Provider Education 23
2.5 Procedures for Providing Information on Developmental Screenings 24
2.6 Consumer Statement for Parents Receiving CCDF Funds 25

3 Provide Stable Child Care Financial Assistance to Families 25
3.1 Eligible Children and Families 26
3.2 Increasing Access for Vulnerable Children and Families 33
3.3 Protection for Working Families 35
3.4 Family Contribution to Payments 39

4 Ensure Equal Access to Child Care for Low-Income Children 41
4.1 Parental Choice in Relation to Certificates, Grants, or Contracts 42
4.2 Assessing Market Rates and Child Care Costs 44
4.3 Setting Payment Rates 46
4.4 Summary of Facts Used to Determine That Payment Rates Are Sufficient to Ensure Equal Access 48
4.5 Payment Practices and the Timeliness of Payments 50
4.6 Supply-Building Strategies to Meet the Needs of Certain Populations 52

5 Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings 54
5.1 Licensing Requirements 55
5.2 Health and Safety Standards and Requirements for CCDF Providers 55
5.3 Monitoring and Enforcement Policies and Practices for CCDF Providers 71
5.4 Criminal Background Checks 74

6 Recruit and Retain a Qualified and Effective Child Care Workforce 86

6.1 Professional Development Framework 86
6.2 Training and Professional Development Requirements 87
6.3 Early Learning and Developmental Guidelines 89

7 Support Continuous Quality Improvement 90
7.1 Quality Activities Needs Assessment for Child Care Services 91
7.2 Use of Quality Funds 91
7.3 Supporting Training and Professional Development of the Child Care Workforce with CCDF Quality Funds 93
7.4 Quality Rating and Improvement System (QRIS) 94
7.5 Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers 97
7.6 Child Care Resource and Referral 99
7.7 Facilitating Compliance with State Standards 99
7.8 Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services 99
7.9 Accreditation Support 100
7.10 Program Standards 100
7.11 Early Learning and Development Guidelines and Other Quality Improvement Activities 100

8 Ensure Grantee Program Integrity and Accountability 101
8.1 Internal Controls and Accountability Measures to Help Ensure Program Integrity 101

Appendix A: Background Check Waiver Request Form 106

Introduction and How to Approach Plan Development

The Child Care and Development Fund (CCDF) program provides resources to state, territory, and tribal grantees that enable low-income parents to work or pursue education and training so that they can better support their families while at the same time promoting the learning and development of their children. The CCDF program also provides funding to enhance the quality of child care for all children. On November 19, 2014, the Child Care and Development Block Grant (CCDBG) Act of 2014 was signed into law (Pub. L. 113-186). The law reauthorizes and significantly revises the purposes of the CCDF program and requirements for state and territory grantees. In September 2016, the Final Rule was released. The Final Rule makes regulatory changes to the CCDF program based on the CCDBG Act of 2014. These changes strengthen requirements to protect the health and safety of children in child care; help parents make informed consumer choices and access information to support child development; provide equal access to stable, child care for low-income children; and enhance the quality of child care and the early childhood workforce.

The Plan is the primary mechanism that the Administration for Children and Families (ACF) uses to determine state and territory compliance with the requirements of the law and rule. The Preprint provides a tool for states and territories to describe to ACF their progress on the following sections:

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

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

Instructions:

CCDF Plan Response Options for Areas Where Implementation Is Still in Progress

As indicated in the Preamble to the CCDF Final Rule (81 FR, p. 67443–4), States must demonstrate compliance with all requirements of the Final Rule no later than October 1, 2018 (the effective date of the FY 2019-2021 CCDF Plan). The only exception is background check requirements, for which States may request time-limited waiver extensions. As such, this

Preprint was developed with the expectation that all requirements, with the exception of background check requirements, would be fully implemented no later than October 1, 2018.

Note that for any changes to the CCDF program effective prior to September 30, 2018, Lead Agencies will be required to submit Plan amendments to the FY 2016-2018 CCDF Plans.

ACF recognizes that Lead Agencies may still be working on implementing some requirements of the Final Rule in order to meet this deadline and may have pending actions (such as legislation or administrative rules) to be implemented at the time of Plan submission. To facilitate responses in these areas, Lead Agencies should use associated "Describe" boxes to provide up-to-date information on the status for these requirements at the time of Plan submission. In the description of the CCDF requirements, ACF requests that the Lead Agency specify what components are implemented (if any) and identify what components are still pending. For pending components, Lead Agencies should list any major pending actions (passage of legislation, approval of administrative rules, etc.) needed to complete implementation and expected completion date. Lead Agencies may update these descriptions prior to Plan approval by the end of September, as appropriate, or submit a Plan Amendment pursuant to the requirements at 98.18(b) after the Plan becomes effective on October 1, 2018.

Please note that all requirements not fully implemented by the Final Rule deadline are subject to compliance actions, such as corrective action plans and/or penalties in accordance with CCDF regulations.

Citations

ACF recognizes that Lead Agencies use different mechanisms to establish policies, such as state statute, regulations, administrative rules, or policy manuals or policy issuances. When asked to provide a citation in the CCDF Plan, Lead Agencies should list the citation(s) for the policy that clearly identifies and establishes the requirement and that allows the Lead Agency to enforce the requirement. Lead Agencies may list multiple sources as needed to cover all types of providers receiving CCDF (e.g., policies for licensed providers may be established in licensing regulations and policies for license-exempt providers may be in subsidy rules).

CCDF Plan Submission

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

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

1 Define CCDF Leadership and Coordination with Relevant Systems

This section identifies the leadership for the CCDF program in each Lead Agency and the entities and individuals who will participate in the implementation of the program. It also identifies the stakeholders that were consulted to develop the Plan and who the Lead Agency collaborates with to implement services. In this section respondents are asked to identify how match and maintenance-of-effort (MOE) funds are identified. Lead Agencies explain their coordination with child care resource and referral (CCR&R) systems, and outline the work they have done on their disaster preparedness and response plans.

1.1 CCDF Leadership

The Governor of a state or territory must designate an agency (which may be an appropriate collaborative agency) or establish a joint interagency office to represent the state or territory as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto (658D; 658E(c)(1)). Note: An amendment to the CCDF State Plan is required if the Lead Agency changes or if the Lead Agency official changes.

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

Identify the Lead Agency or joint interagency office designated by the state or territory. ACF will send official grant correspondence, such as grant awards, grant adjustments, Plan approvals, and disallowance notifications, to the designated contact identified here (658D(a)).

a) Lead Agency or Joint Interagency Office Information:

Name of Lead Agency: _____

Street Address: _____

City: _____

State: _____

ZIP Code: _____

Web Address for Lead Agency: _____

b) Lead Agency or Joint Interagency Official Contact Information:

Lead Agency Official First Name: _____

Lead Agency Official Last Name: _____

Title: _____

Phone Number: _____

Email Address: _____

1.1.2 Who is the CCDF Administrator?

Identify the CCDF Administrator designated by the Lead Agency, the day-to-day contact, or the person with responsibility for administering the state's or territory's CCDF program. ACF will

send programmatic communications, such as program announcements, program instructions, and data collection instructions, to the designated contact identified here. If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the Co-Administrator or the person with administrative responsibilities and include his or her contact information.

a) CCDF Administrator Contact Information:

CCDF Administrator First Name: _____

CCDF Administrator Last Name: _____

Title of the CCDF Administrator: _____

Phone Number: _____

Email Address: _____

Address for the CCDF Administrator (if different from the Lead Agency):

Street Address: _____

City: _____

State: _____

ZIP Code: _____

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

CCDF Co-Administrator First Name: _____

CCDF Co-Administrator Last Name: _____

Title of the CCDF Co-Administrator: _____

Description of the role of the Co-Administrator: _____

Phone Number: _____

Email Address: _____

Address of the CCDF Co-Administrator (if different from the Lead Agency):

Street Address: _____

City: _____

State: _____

ZIP Code: _____

1.2 CCDF Policy Decision Authority

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or public or private local agencies as long as it retains overall responsibility for the administration of the program (658D(b)). Administrative and implementation responsibilities undertaken by agencies other than the Lead Agency must be governed by written agreements that specify the

mutual roles and responsibilities of the Lead Agency and other agencies in meeting the program requirements.

1.2.1 Which of the following CCDF program rules and policies are administered (i.e., set or established) at the state or territory level or local level? Identify whether CCDF program rules and policies are established by the state or territory (even if operated locally) or whether the CCDF policies or rules are established by local entities, such as counties or workforce boards (98.16(i)(3)). Check one.

- ☐ All program rules and policies are set or established at the state or territory level. If checked, skip to question 1.2.2.
- ☐ Some or all program rules and policies are set or established by local entities. If checked, indicate which entities establish the following policies. Check all that apply.

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

   - ☐ State or territory
   - ☐ Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set. _____
   - ☐ Other. Describe: _____

2. Sliding-fee scale is set by the:

   - ☐ State or territory
   - ☐ Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set. _____
   - ☐ Other. Describe:_____

3. Payment rates are set by the:

   - ☐ State or territory
   - ☐ Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the type of eligibility policies the local entity(ies) can set. _____
   - ☐ Other. Describe: _____

4. Other. List and describe other program rules and policies (e.g., quality rating and improvement systems [QRIS], payment practices): _____

1.2.2 How is the CCDF program operated? In other words, which entity(ies) implement or perform these CCDF services? Check all that apply.

a) Who conducts eligibility determinations?

- ☐ CCDF Lead Agency
- ☐ Temporary Assistance for Needy Families (TANF) agency
- ☐ Other state or territory agency
- ☐ Local government agencies, such as county welfare or social services departments
- ☐ Child care resource and referral agencies
- ☐ Community-based organizations
- ☐ Other. _____

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

- ☐ CCDF Lead Agency
- ☐ TANF agency
- ☐ Other state or territory agency
- ☐ Local government agencies, such as county welfare or social services departments
- ☐ Child care resource and referral agencies
- ☐ Community-based organizations
- ☐ Other.

c) Who issues payments?

- ☐ CCDF Lead Agency
- ☐ TANF agency.
- ☐ Other state or territory agency.
- ☐ Local government agencies, such as county welfare or social services departments.
- ☐ Child care resource and referral agencies.
- ☐ Community-based organizations.
- ☐ Other.

1.2.3 Describe the processes the Lead Agency uses to monitor CCDF administration and implementation responsibilities performed by other agencies as reported above in 1.2.2, including written agreements, monitoring and auditing procedures, and indicators or measures to assess performance of those agencies (98.16(b)). Note: The contents of the written agreement may vary based on the role the agency is asked to assume or type of project, but must include at a minimum, tasks to be performed, schedule for completing tasks, budget which itemizes categorical expenditures in accordance with CCDF requirements, and indicators or measures to assess performance (98.11(a)(3)). _____

1.2.4 Lead Agencies must assure that, to the extent practicable and appropriate, any code or software for child care information systems or information technology for which a Lead Agency or other agency expends CCDF funds to develop must be made available on request to other public agencies, including public agencies in other States, for their use in administering child care or related programs (98.15(a)(11)). Assure by describing how the Lead Agency makes child care information systems available to public agencies in other states to the extent practicable and appropriate. _____

1.2.5 Lead Agencies must have in effect policies to govern the use and disclosure of confidential and personally identifiable information about children and families receiving CCDF assistance and

child care providers receiving CCDF funds (98.15(b)(13)). Certify by describing the Lead Agency's policies related to the use and disclosure of confidential and personally identifiable information. _____

1.3 Consultation in the Development of the CCDF Plan

The Lead Agency is responsible for developing the CCDF Plan, which serves as the application for a 3-year implementation period. As part of the Plan development process, Lead Agencies must consult with the following:

(1) Appropriate representatives of units of general purpose local government—(658D(b)(2); 98.10(c); 98.12(b); 98.14(b)). General purpose local governments are defined by the U.S. Census at https://www.census.gov/newsroom/cspan/govts/20120301_cspan_govts_def_3.pdf.

(2) The State Advisory Council (SAC) on Early Childhood Education and Care (pursuant to 642B(b)(I)(A)(i) of the Head Start Act) (658E(c)(2)(R); 98.15(b)(1)) or similar coordinating body pursuant to 98.14(a)(1)(vii).

(3) Indian tribe(s) or tribal organization(s) within the state. This consultation should be done in a timely manner and at the option of the Indian tribe(s) or tribal organization(s) (658D(b)(1)(E)).

Consultation involves meeting with or otherwise obtaining input from an appropriate agency in the development of the state or territory CCDF Plan. Describe the partners engaged to provide services under the CCDF program in question 1.4.1.

1.3.1 Describe the Lead Agency's consultation in the development of the CCDF Plan.

a) Describe how the Lead Agency consulted with appropriate representatives of general purpose local governments. _____

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

c) Describe, if applicable, how the Lead Agency consulted with Indian tribes(s) or tribal organizations(s) within the state. Note: The CCDF regulations recognize the need for States to conduct formal, structured consultation with Tribal governments, including Tribal leadership. Many States and Tribes have consultation policies and procedures in place. _____

d) Describe any other entities, agencies, or organizations consulted on the development of the CCDF Plan. _____

1.3.2 Describe the statewide or territory-wide public hearing process held to provide the public with an opportunity to comment on the provision of child care services under this Plan (658D(b)(1)(C); 98.16(f)). *Reminder:* Lead Agencies are required to hold at least one public hearing in the state or territory, with sufficient statewide or territory-wide distribution of notice prior to such a hearing to enable the public to comment on the provision of child care services under the CCDF Plan. At a minimum, this description must include:

a) Date of the public hearing. _____ Reminder: Must be no earlier than January 1, 2018, which is 9 months prior to the October 1, 2018, effective date of the Plan. If more than one public hearing was held, please enter one date (e.g. the date of the first hearing, the most recent hearing or any hearing date that demonstrates this requirement).

b) Date of notice of public hearing (date for the notice of public hearing identified in (a). _____ Reminder: Must be at least 20 calendar days prior to the date of the public hearing. If more than one public hearing was held, enter one date of notice (e.g. the date of the first notice, the most recent notice or any date of notice that demonstrates this requirement).

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

d) Hearing site or method, including how geographic regions of the state or territory were addressed. _____

e) How the content of the Plan was made available to the public in advance of the public hearing. (e.g. the Plan was made available in other languages, in multiple formats, etc.) _____

f) How was the information provided by the public taken into consideration regarding the provision of child care services under this Plan? _____

1.3.3 Lead Agencies are required to make the submitted and final Plan, any Plan amendments, and any approved requests for temporary relief (i.e., waivers) publicly available on a website (98.14(d)). Please note that a Lead Agency must submit Plan amendments within 60 days of a substantial change in the Lead Agency's program. (Additional information may be found at https://www.acf.hhs.gov/occ/resource/pi-2009-01.)

a) Provide the website link to where the Plan, any Plan amendments, and/or waivers are available. Note: A Plan amendment is required if the website address where the Plan is posted is changed. _____

b) Describe any other strategies that the Lead Agency uses to make the CCDF Plan and Plan amendments available to the public (98.14(d)). Check all that apply and describe the strategies below, including any relevant website links as examples.

☐ Working with advisory committees. Describe: _____

☐ Working with child care resource and referral agencies. Describe: _____

☐ Providing translation in other languages. Describe: _____

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

☐ Providing notification to stakeholders (e.g., provider groups, parent groups). Describe: _____

☐Other. Describe: _____

1.4 Coordination with Partners to Expand Accessibility and Continuity of Care

Lead Agencies are required to describe how the state or territory will efficiently, and to the extent practicable, coordinate child care services supported by CCDF with programs operating at the federal, state/territory, and local levels for children in the programs listed below. This

includes programs for the benefit of Indian children, infants and toddlers, children with disabilities, children experiencing homelessness, and children in foster care (98.14(a)(1)).

1.4.1 Describe how the Lead Agency coordinates the provision of child care services with the following programs to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services that meet the needs of working families (658E(c)(2)(O); 98.12(a); 98.14(a)).

This list includes agencies or programs required by law or rule, along with a list of optional partners that Lead Agencies potentially would coordinate with over the next 3 years to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services.

Include in the descriptions the goals of this coordination, such as:

- extending the day or year of services for families;
- smoothing transitions for children between programs or as they age into school;
- enhancing and aligning the quality of services for infants and toddlers through school-age children;
- linking comprehensive services to children in child care or school-age settings; or
- developing the supply of quality care for vulnerable populations (as defined by the Lead Agency) in child care and out-of-school time settings

Check the agencies or programs the Lead Agency will coordinate with and describe all that apply.

☐ (REQUIRED) Appropriate representatives of the general purpose local government, which can include counties, municipalities, or townships/towns. Describe the coordination goals and process: _____

☐ (REQUIRED) State Advisory Council on Early Childhood Education and Care or similar coordinating body (pursuant to 642B(b)(I)(A)(i) of the Head Start Act). Describe the coordination goals and process: _____

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

☐ (REQUIRED) Indian tribe(s) and/or tribal organization(s), at the option of individual tribes. Describe the coordination goals and process, including which tribe(s) was consulted: _____

  ☐ N/A—There are no Indian tribes and/or tribal organizations in the State.

☐ (REQUIRED) State/territory agency(ies) responsible for programs for children with special needs, including early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Part B, Section 619 for preschool). Describe the coordination goals and process: _____

☐ (REQUIRED) State/territory office/director for Head Start state collaboration. Describe the coordination goals and process: _____

- ☐ (REQUIRED) State/territory agency responsible for public health, including the agency responsible for immunizations. Describe the coordination goals and process: _____
- ☐ (REQUIRED) State/territory agency responsible for employment services/workforce development. Describe the coordination goals and process: _____
- ☐ (REQUIRED) State/territory agency responsible for public education, including prekindergarten (preK). Describe the coordination goals and process: _____
- ☐ (REQUIRED) State/territory agency responsible for child care licensing. Describe the coordination goals and process: _____
- ☐ (REQUIRED) State/territory agency responsible for the Child and Adult Care Food Program (CACFP) and other relevant nutrition programs. Describe the coordination goals and process: _____
- ☐ (REQUIRED) McKinney-Vento state coordinators for homeless education and other agencies providing services for children experiencing homelessness and, to the extent practicable, local McKinney-Vento liaisons. Describe the coordination goals and process: _____
- ☐ (REQUIRED) State/territory agency responsible for the Temporary Assistance for Needy Families program. Describe the coordination goals and process: _____
- ☐ (REQUIRED) Agency responsible for Medicaid and the state Children's Health Insurance Program. Describe the coordination goals and process: _____
- ☐ (REQUIRED) State/territory agency responsible for mental health. Describe the coordination goals and process: _____
- ☐ (REQUIRED) Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development. Describe the coordination goals and process: _____
- ☐ (REQUIRED) Statewide afterschool network or other coordinating entity for out-of-school time care (if applicable). Describe the coordination goals and process: _____
- ☐ (REQUIRED) Agency responsible for emergency management and response. Describe the coordination goals and process: _____

The following are examples of optional partners a state might coordinate with to provide services. Check all that apply.

- ☐ State/territory/local agencies with Early Head Start – Child Care Partnership grants. Describe: _____
- ☐ State/territory institutions for higher education, including community colleges. Describe: _____
- ☐ Other federal, state, local, and/or private agencies providing early childhood and school-age/youth-serving developmental services. Describe: _____
- ☐ State/territory agency responsible for implementing the Maternal and Child Home Visitation programs grant. Describe: _____

- ☐ Agency responsible for Early and Periodic Screening, Diagnostic, and Treatment Program. Describe: _____
- ☐ State/territory agency responsible for child welfare. Describe: _____
- ☐ State/territory liaison for military child care programs. Describe: _____
- ☐ Provider groups or associations. Describe: _____
- ☐ Parent groups or organizations. Describe: _____
- ☐ Other. Describe: _____

1.5 Optional Use of Combined Funds, CCDF Matching and Maintenance-of-Effort Funds

Optional Use of Combined Funds: States and territories have the option to combine CCDF funds with any program identified as required in 1.4.1. These programs include those operating at the federal, state, and local levels for children in preschool programs, tribal early childhood programs, and other early childhood programs, including those serving infants and toddlers with disabilities, children experiencing homelessness, and children in foster care (658E(c)(2)(O)(ii)). Combining funds could include blending multiple funding streams, pooling funds, or layering funds together from multiple funding streams to expand and/or enhance services for infants, toddlers, preschoolers, and school-age children and families to allow for the delivery of comprehensive quality care that meets the needs of children and families. For example, state/territory agencies may use multiple funding sources to offer grants or contracts to programs to deliver services; a state/territory may allow a county/local government to use coordinated funding streams; or policies may be in place that allow local programs to layer CCDF funds with additional funding sources to pay for full-day, full-year child care that meets Early Head Start/Head Start Program Performance Standards or state/territory prekindergarten requirements in addition to state/territory child care licensing requirements.

As a reminder, CCDF funds may be used in collaborative efforts with Head Start programs to provide comprehensive child care and development services for children who are eligible for both programs. In fact, the coordination and collaboration between Head Start and CCDF is strongly encouraged by sections 640(g)(1)(D) and (E); 640(h); 641(d)(2)(H)(v); and 642(e)(3) of the Head Start Act in the provision of full working day, full calendar year comprehensive services. To implement such collaborative programs, which share, for example, space, equipment, or materials, grantees may layer several funding streams so that seamless services are provided (Policy and Program Guidance for the Early Head Start – Child Care Partnerships: https://www.acf.hhs.gov/sites/default/files/occ/acf_im_ohs_15_03.pdf).

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

- ☐ No (If no, skip to question 1.5.2)
- ☐ Yes. If yes, describe at a minimum:
  - a) How you define "combine" _____
  - b) Which funds you will combine _____
  - c) Your purpose and expected outcomes for combining funds, such as extending the day or year of services available (i.e., full-day, full-year programming for working families), smoothing transitions for children, enhancing and aligning quality of

services, linking comprehensive services to children in child care or developing the supply of child care for vulnerable populations _____

d) How you will be combining multiple sets of funding, such as at the State/Territory level, local level, program level? _____

e) How are the funds tracked and method of oversight _____

1.5.2 Which of the following funds does the Lead Agency intend to use to meet the CCDF matching and MOE requirements described in 98.55(e) and 98.55(h)? Check all that apply.

Note: The Lead Agency must check at least public and/or private funds as matching, even if preK funds also will be used.

Use of pre-K for Maintenance of Effort: The CCDF Final Rule clarifies that public pre-K funds may also serve as maintenance-of-effort funds as long as the state/territory can describe how it will coordinate pre-K and child care services to expand the availability of child care while using public preK funds as no more than 20 percent of the state's or territory's maintenance of effort or 30 percent of its matching funds in a single fiscal year (FY) (98.55(h)). If expenditures for pre-K services are used to meet the maintenance-of-effort requirement, the state/territory must certify that it has not reduced its level of effort in full-day/full-year child care services (98.55(h)(1); 98.15(a)(6)).

Use of Private Funds for Match or Maintenance of Effort: Donated funds do not need to be under the administrative control of the Lead Agency to qualify as an expenditure for federal match. However, Lead Agencies do need to identify and designate in the state/territory Plan the donated funds given to public or private entities to implement the CCDF child care program (98.55(f)).

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

☐ Public funds are used to meet the CCDF matching fund requirement. Public funds may include any general revenue funds, county or other local public funds, state/territory-specific funds (tobacco tax, lottery), or any other public funds.

- If checked, identify the source of funds: _____
- If known, identify the estimated amount of public funds that the Lead Agency will receive: $_____

☐ Private donated funds are used to meet the CCDF matching funds requirement. Only private funds received by the designated entities or by the Lead Agency may be counted for match purposes (98.53(f)).

- If checked, are those funds:
  - ☐ donated directly to the State?
  - ☐ donated to a separate entity(ies) designated to receive private donated funds?
- If checked, identify the name, address, contact, and type of entities designated to receive private donated funds: _____
- If known, identify the estimated amount of private donated funds that the Lead Agency will receive: $ _____

☐ State expenditures for pre-K programs are used to meet the CCDF matching funds requirement. If checked, provide the estimated percentage of the matching fund requirement that will be met with preK expenditures (not to exceed 30 percent): _____

- If the percentage is more than 10 percent of the matching fund requirement, describe how the State will coordinate its preK and child care services: _____
- If known, identify the estimated amount of preK funds that the Lead Agency will receive for the matching funds requirement: $ _____
- Describe the Lead Agency efforts to ensure that preK programs meet the needs of working parents: _____

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

- The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.55(h)(1) and 98.15(6).
  - ☐ No
  - ☐ Yes
- Describe the Lead Agency efforts to ensure that preK programs meet the needs of working parents: _____
- Estimated percentage of the MOE Fund requirement that will be met with preK expenditures (not to exceed 20 percent): _____
- If the percentage is more than 10 percent of the MOE requirement, describe how the State will coordinate its preK and child care services to expand the availability of child care: _____
- If known, identify the estimated amount of preK funds that the Lead Agency will receive for the MOE Fund requirement: $ _____

1.6 Public-Private Partnerships

Lead Agencies are required to describe how they encourage public-private partnerships among other public agencies, tribal organizations, private entities, faith-based organizations, businesses or organizations that promote business involvement, and/or community-based organizations to leverage existing service delivery (i.e., cooperative agreement among providers to pool resources to pay for shared fixed costs and operation) (658E(c)(2)(P)). ACF expects these types of partnerships to leverage public and private resources to further the goals of the CCDBG Act. Lead Agencies are required to demonstrate how they encourage public-private partnerships to leverage existing child care and early education service-delivery systems and to increase the supply and quality of child care services for children younger than age 13, for example, by implementing voluntary shared service alliance models (98.14(a)(4)).

1.6.1 Identify and describe the entities with which and the levels at which the state/territory is partnering (level—state/territory, county/local, and/or programs), the goals of the partnerships, the ways that partnerships are expected to leverage existing service-delivery systems, the method of partnering, and examples of activities that have resulted from these partnerships (98.16(d)(2)). _____

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

Lead Agencies may use CCDF funds to establish or support a system of local or regional child care resource and referral (CCR&R) organizations that is coordinated, to the extent determined by the state/territory, by a statewide public or private non-profit, community-based or regionally based, lead child care resource and referral organization (such as a statewide CCR&R network) (658E(c)(3)(B)(iii); 98.52).

- If Lead Agencies use CCDF funds for local CCR&R organizations, the local or regional CCR&R organizations supported by those funds must, at the direction of the Lead Agency, provide parents in the State with consumer education information concerning the full range of child care options (including faith-based and community-based child care providers), analyzed by provider, including child care provided during non-traditional hours and through emergency child care centers, in their area.
- To the extent practicable, work directly with families who receive assistance to offer the families support and assistance to make an informed decision about which child care providers they will use to ensure that the families are enrolling their children in the most appropriate child care setting that suits their needs and one that is of high quality (as determined by the Lead Agency).
- Collect data and provide information on the coordination of services and supports, including services under Part B, Section 619 and Part C of the Individuals with Disabilities Education Act;
- Collect data and provide information on the supply of and demand for child care services in areas of the state and submit the information to the State;
- Work to establish partnerships with public agencies and private entities, including faith-based and community-based child care providers, to increase the supply and quality of child care services in the state and, as appropriate, coordinate their activities with the activities of the state Lead Agency and local agencies that administer funds made available through CCDF (98.52(b)).

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

Note: Use 1.7.1 to address if a state/territory funds a CCR&R organization, what services are provided and how it is structured and use section 7.6.1 to address the indicators of progress met by CCR&R organizations if they are funded by quality set-aside funds.

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

☐ No. The state/territory does not fund a CCR&R organization(s) and has no plans to establish one.

☐ Yes. The state/territory funds a CCR&R organization(s). If yes, describe the following:

a) What services are provided through the CCR&R organization? _____

b) How are CCR&R services organized, include how many agencies, if there is a statewide network and if the system is coordinated? _____

1.8 Disaster Preparedness and Response Plan

Lead Agencies are required to establish a Statewide Child Care Disaster Plan (658E(c)(2)(U)). They must demonstrate how they will address the needs of children—including the need for safe child care, before, during, and after a state of emergency declared by the Governor or a major disaster or emergency (as defined by Section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5122)—through a Statewide Disaster Plan that, for a State, is developed in collaboration with the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(I)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))) or similar coordinating body (98.16(aa)).

1.8.1 Describe how the Statewide Child Care Disaster Plan was developed in collaboration with the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care or similar coordinating body: _____

1.8.2 Describe how the Statewide Disaster Plan includes the Lead Agency's guidelines for the continuation of child care subsidies and child care services, which may include the provision of emergency and temporary child care services during a disaster and temporary operating standards for child care after a disaster: _____

1.8.3 Describe Lead Agency procedures for the coordination of post-disaster recovery of child care services: _____

1.8.4 Describe how the Lead Agency ensures that providers who receive CCDF funds have the following procedures in place—evacuation; relocation; shelter-in-place; lockdown; communications with and reunification of families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions: _____

1.8.5 Describe how the Lead Agency ensures that providers who receive CCDF funds have the following procedures in place for child care staff and volunteers—emergency preparedness training and practice drills as required in 98.41(a)(1)(vii): _____

1.8.6 Provide the link to the website where the statewide child care disaster plan is available: _____

2 Promote Family Engagement through Outreach and Consumer Education

Lead Agencies are required to support the role of parents as child care consumers who need information to make informed choices regarding the services that best suit their needs. A key purpose of the CCDBG Act is to "promote involvement by parents and family members in the development of their children in child care settings" (658A(b)). Lead Agencies have the opportunity to consider how information can be provided to parents through the child care assistance system, partner agencies, and child care consumer education websites.

The target audience for the consumer education information includes three groups: parents receiving CCDF assistance, the general public, and when appropriate, child care providers. In this section, Lead Agencies will address how information is made available to families to assist them in accessing high-quality child care and how information is shared on other financial assistance programs or supports for which a family might be eligible. In addition, Lead Agencies will certify that information on developmental screenings is provided and will describe how research and best practices concerning children's development, including their social-emotional development, is shared.

In this section, Lead Agencies will delineate the consumer and provider education information related to child care, as well as other services, including developmental screenings, which is made available to parents, providers, and the general public and the ways that it is made available. This section also covers the parental complaint process and the consumer education website that has been developed by the Lead Agency. Finally, this section addresses the consumer statement that is provided to parents supported with CCDF funds.

2.1 Outreach to Families with Limited English Proficiency and Persons with Disabilities

The Lead Agency is required to describe how it provides outreach and services to eligible families with limited English proficiency and persons with disabilities and to facilitate the participation of child care providers with limited English proficiency and disabilities in the CCDF program (98.16(dd)). Lead Agencies are required to develop policies and procedures to clearly communicate program information, such as requirements, consumer education information, and eligibility information, to families and child care providers of all backgrounds (81 FR 67456).

2.1.1 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families for whom English is not their first language. Check all that apply.

- ☐ Application in other languages (application document, brochures, provider notices)
- ☐ Informational materials in non-English languages
- ☐ Website in non-English languages
- ☐ Lead Agency accepts applications at local community-based locations
- ☐ Bilingual caseworkers or translators available
- ☐ Bilingual outreach workers
- ☐ Partnerships with community-based organizations
- ☐ Other. Describe: _____

2.1.2 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families with a person(s) with a disability. Check all that apply.

- ☐ Applications and public informational materials available in Braille and other communication formats for access by individuals with disabilities
- ☐ Websites that are accessible (e.g., Section 508 of the Rehabilitation Act)
- ☐ Caseworkers with specialized training/experience in working with individuals with disabilities
- ☐ Ensuring accessibility of environments and activities for all children
- ☐ Partnerships with state and local programs and associations focused on disability-related topics and issues
- ☐ Partnerships with parent associations, support groups, and parent-to-parent support groups, including the Individuals with Disabilities Education Act (IDEA) federally funded Parent Training and Information Centers
- ☐ Partnerships with state and local IDEA Part B, Section 619 and Part C providers and agencies
- ☐ Availability and/or access to specialized services (e.g., mental health, behavioral specialists, therapists) to address the needs of all children
- ☐ Other. Describe:

2.2 Parental Complaint Process

The Lead Agency must certify that the state/territory maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request (658E(c)(2)(C); 98.15(b)(3)). Lead Agencies must also provide a detailed description of the hotline or similar reporting process for parents to submit complaints about child care providers; the process for substantiating complaints; the manner in which the Lead Agency maintains a record of substantiated parental complaints; and ways that the Lead Agency makes information on such parental complaints available to the public on request (98.16; 98.32).

2.2.1 Describe the Lead Agency's hotline or similar reporting process through which parents can submit complaints about child care providers, including a link if it is a Web-based process: _____

2.2.2 Describe the Lead Agency's process and timeline for screening, substantiating and responding to complaints regarding CCDF providers, including whether the process includes monitoring: _____

2.2.3 Describe the Lead Agency's process and timeline for screening, substantiating and responding to complaints for non-CCDF providers, including whether the process includes monitoring: _____

2.2.4 Certify by describing how the Lead Agency maintains a record of substantiated parental complaints: _____

2.2.5 Certify by describing how the Lead Agency makes information about substantiated parental complaints available to the public; this information can include the consumer education website discussed in section 2.3: _____

2.2.6 Provide the citation to the Lead Agency's policy and process related to parental complaints: _____

2.3 Consumer Education Website

States and Territories are required to provide information to parents, the general public, and when applicable, child care providers through a State website, which is consumer-friendly and easily accessible (658E(c)(2)(E)(i)(III)). The website must include information to assist families in understanding the policies and procedures for licensing child care providers. The website information must also include provider-specific information, monitoring and inspection reports for the provider, and the quality of each provider (if such information is available for the provider) (658E(c)(2)(D); 98.33(a)). The website should also provide access to a yearly statewide report on deaths, serious injuries, and the number of cases of substantiated child abuse that have occurred in child care settings. To assist families with any additional questions, the website should provide contact information for local child care resource and referral organizations and any other agencies that can assist families in better understanding the information on the website.

To certify, respond to questions 2.3.1 through 2.3.10 by describing how the Lead Agency meets these requirements and provide the link in 2.3.11. If the Lead Agency has not fully implemented the Consumer Education website elements identified in Section 2.3, then respond to question 2.3.12. Please note that any changes made to the web links provided below in this section after the CCDF Plan is approved will require a CCDF Plan amendment.

2.3.1 Describe how the Lead Agency ensures that its website is consumer-friendly and easily accessible: _____

2.3.2 Describe how the website ensures the widest possible access to services for families that speak languages other than English (98.33(a)): _____

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

2.3.4 Lead Agency processes related to child care.

A required component of the consumer education website is a description of Lead Agency policies and procedures relating to child care (98.33(a) (1)). This information includes a description of how the state/territory licenses child care, a rationale for exempting providers from licensing requirements, the procedure for conducting monitoring and inspections of providers, and the policies and procedures related to criminal background checks.

a) Provide the link to how the Lead Agency licenses child care providers, including the rationale for exempting certain providers from licensing requirements, as described in section 5.3.6: _____

b) Provide the link to the procedure for conducting monitoring and inspections of child care providers, as described in section 5.3.2: _____

c) Provide the link to the policies and procedures related to criminal background checks for staff members of child care providers and the offenses that prevent individuals from being

employed by a child care provider or receiving CCDF funds, as described in sections 5.4.1 and 5.4.11: _____

2.3.5 List of providers

The consumer education website must include a list of all licensed providers and, at the discretion of the Lead Agency, all providers eligible to deliver CCDF services, identified as either licensed or license-exempt. Providers caring for children to whom they are related do not need to be included. The list of providers must be searchable by ZIP Code.

a) Provide the website link to the searchable list of child care providers: _____

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

- ☐ License-exempt center-based CCDF providers
- ☐ License-exempt family child care (FCC) CCDF providers
- ☐ License-exempt non-CCDF providers
- ☐ Relative CCDF child care providers
- ☐ Other. Describe: _____

c) Identify what informational elements, if any, are available in the searchable results. Note: Quality information (if available) and monitoring results are required on the website but are not required to be a part of the search results.

- Licensed providers
  - ☐ Contact information
  - ☐ Enrollment capacity
  - ☐ Years in operation
  - ☐ Provider education and training
  - ☐ Languages spoken
  - ☐ Quality information
  - ☐ Monitoring reports
  - ☐ Other. Describe: _____
- License-exempt, non-CCDF providers
  - ☐ Contact information
  - ☐ Enrollment capacity
  - ☐ Years in operation
  - ☐ Provider education and training
  - ☐ Languages spoken
  - ☐ Quality information
  - ☐ Monitoring reports
  - ☐ Other. Describe: _____
- License-exempt CCDF center based providers
  - ☐ Contact information

- ☐ Enrollment capacity
- ☐ Years in operation
- ☐ Provider education and training
- ☐ Languages spoken
- ☐ Quality information
- ☐ Monitoring reports
- ☐ Other. Describe: _____

- License-exempt CCDF family child care
  - ☐ Contact information
  - ☐ Enrollment capacity
  - ☐ Years in operation
  - ☐ Provider education and training
  - ☐ Languages spoken
  - ☐ Quality information
  - ☐ Monitoring reports
  - ☐ Other. Describe: _____
- Relative CCDF providers
  - ☐ Contact information
  - ☐ Enrollment capacity
  - ☐ Years in operation
  - ☐ Provider education and training
  - ☐ Languages spoken
  - ☐ Quality information
  - ☐ Monitoring reports
  - ☐ Other. Describe: _____
- Other. Describe: _____
  - ☐ Contact information
  - ☐ Enrollment capacity
  - ☐ Years in operation
  - ☐ Provider education and training
  - ☐ Languages spoken
  - ☐ Quality information
  - ☐ Monitoring reports
  - ☐ Other. Describe: _____

2.3.6 Lead Agencies must also identify specific quality information on each child care provider for whom they have this information. The type of information provided is determined by the Lead Agency, and it should help families easily understand whether a provider offers services that meet Lead Agency-specific best practices and standards or a nationally recognized, research-based set of criteria. Provider-specific quality information must only be posted on the consumer website if it is available for the individual provider.

a) How does the Lead Agency determine quality ratings or other quality information to include on the website?

- ☐ Quality rating and improvement system
- ☐ National accreditation
- ☐ Enhanced licensing system
- ☐ Meeting Head Start/Early Head Start Program Performance Standards.
- ☐ Meeting prekindergarten quality requirements
- ☐ School-age standards, where applicable
- ☐ Other. Describe: _____

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

- ☐ Licensed CCDF providers. Describe the quality information: _____
- ☐ Licensed non-CCDF providers. Describe the quality information: _____
- ☐ License-exempt center-based CCDF providers. Describe the quality information: _____
- ☐ License-exempt FCC CCDF providers. Describe the quality information: _____
- ☐ License-exempt non-CCDF providers. Describe the quality information: _____
- ☐ Relative child care providers. Describe the quality information: _____
- ☐ Other. Describe: _____

2.3.7 Lead Agencies are required to post monitoring and inspection reports on the consumer education website for each licensed provider and for each non-relative provider eligible to provide CCDF services on the consumer education website. These reports must include results of required annual monitoring visits and visits due to major substantiated complaints about a provider's failure to comply with health and safety requirements and child care policies. The reports must be in plain language, as defined by the State or Territory, and be timely to ensure that the results of the reports are available and easily understood by parents when they are deciding on a child care provider. Lead Agencies must post at least 3 years of reports when available, going forward (not retrospectively), beginning October 1, 2018.

Certify by responding to the questions below:

a) What is the Lead Agency's definition of plain language and describe the process for receiving feedback from parents and the public about readability of reports. _____

b) Are monitoring and inspection reports in plain language?

- ☐ If yes, include a website link to a sample monitoring report. _____
- ☐ If no, describe how plain language summaries are used to meet the regulatory requirements and include a link to a sample summary. _____

c) Check to certify what the monitoring and inspection reports and/or their plain language summaries include:

- ☐ Date of inspection

- ☐ Health and safety violations, including those violations that resulted in fatalities or serious injuries. Describe how these health and safety violations are prominently displayed. _____
- ☐ Corrective action plans taken by the State and/or child care provider. Describe _____

d) The process for correcting inaccuracies in reports. _____

e) The process for providers to appeal the findings in reports, including the time requirements, and timeframes for filing the appeal, for the investigation, and for removal of any violations from the website determined on appeal to be unfounded. _____

f) How reports are posted in a timely manner. Specifically, provide the Lead Agency's definition of "timely" and describe how it ensures that reports are posted within its timeframe. Note: While Lead Agencies define "timely," we recommend Lead Agencies update results as soon as possible and no later than 90 days after an inspection or corrective action is taken. _____

g) Describe the process for maintaining monitoring reports on the website. Specifically, provide the minimum number of years reports are posted and the policy for removing reports (98.33(a)(4)(iv)). _____

h) Any additional providers on which the Lead Agency chooses to include reports. Note: Licensed providers and CCDF providers must have monitoring and inspection reports posted on their consumer education website.

- ☐ License-exempt non-CCDF providers
- ☐ Relative child care providers
- ☐ Other. Describe: _____

2.3.8 Aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year must be posted on the consumer education website. This aggregate information on serious injuries and deaths must be organized by category of care (e.g., center, FCC, etc.) and licensing status for all eligible CCDF provider categories in the state. The information on instances of substantiated child abuse does not have to be organized by category of care or licensing status. The aggregate report should not list individual provider-specific information or names.

Certify by providing:

a) The designated entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care (98.16 (ff)) and describe how the Lead Agency obtains the aggregate data from the entity. _____

b) The definition of "substantiated child abuse" used by the Lead Agency for this requirement. _____

c) The definition of "serious injury" used by the Lead Agency for this requirement. _____

d) The website link to the page where the aggregate number of serious injuries, deaths, and substantiated instances of child abuse are posted. _____

2.3.9 The consumer education website should include contact information on referrals to local child care resource and referral organizations. How does the Lead Agency provide referrals to local CCR&R agencies through the consumer education website? Describe and include a website link to this information: _____

2.3.10 The consumer education website should include information on how parents can contact the Lead Agency, or its designee, or other programs that can help the parent understand information included on the website. Describe and include a website link to this information: _____

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

2.3.12 Other. Identify and describe the components that are still pending per the instructions on *CCDF Plan Response Options for Areas where Implementation is Still in Progress* in the Introduction. _____

2.4 Additional Consumer and Provider Education

Lead Agencies are required to certify that they will collect and disseminate information about the full diversity of child care services to promote parental choice to parents of eligible children, the general public, and where applicable, child care providers. In addition to the consumer education website, the consumer education information can be provided through CCR&R organizations or through direct conversations with eligibility case workers and child care providers. Outreach and counseling can also be effectively provided via information sessions or intake processes for families (658E(c)(2)(E); 98.15(b)(4); 98.33(b)).

In questions 2.4.1 through 2.4.5, certify by describing:

2.4.1 How the Lead Agency shares information with eligible parents, the general public, and where applicable, child care providers about the availability of child care services provided through CCDF and other programs for which the family may be eligible, such as state preK, as well as the availability of financial assistance to obtain child care services. At a minimum, describe what is provided (e.g., such methods as written materials, the website, and direct communications) and how information is tailored for these audiences. _____

2.4.2 The partnerships formed to make information about the availability of child care services available to families. _____

2.4.3 How the Lead Agency provides the required information about the following programs and benefits to the parents of eligible children, the general public, and where applicable, providers. In the description include, at a minimum, what information is provided, how the information is provided, and how the information is tailored to a variety of audiences and include any partners who assist in providing this information.

- ☐ Temporary Assistance for Needy Families program: _____
- ☐ Head Start and Early Head Start programs: _____
- ☐ Low Income Home Energy Assistance Program (LIHEAP): _____

- ☐ Supplemental Nutrition Assistance Programs (SNAP) Program: _____
- ☐ Women, Infants, and Children Program (WIC) program: _____
- ☐ Child and Adult Care Food Program(CACFP): _____
- ☐ Medicaid and Children's Health Insurance Program (CHIP): _____
- ☐ Programs carried out under IDEA Part B, Section 619 and Part C: _____

2.4.4 Describe how the Lead Agency makes available to parents, providers, and the general public information on research and best practices concerning children's development, including physical health and development, particularly healthy eating and physical activity. Information about successful parent and family engagement should also be shared. At a minimum, include what information is provided, how the information is provided, and how the information is tailored to a variety of audiences and include any partners in providing this information. _____

2.4.5 Describe how information on the Lead Agency's policies regarding the social-emotional and behavioral issues and early childhood mental health of young children, including positive behavioral intervention and support models based on research and best practices for those from birth to school age, are shared with families, providers, and the general public. At a minimum, include what information is provided, how the information is provided, and how information is tailored to a variety of audiences and include any partners in providing this information. _____

2.4.6 Describe the Lead Agency's policies to prevent the suspension and expulsion of children from birth to age 5 in child care and other early childhood programs receiving CCDF funds (98.16(ee)), including how those policies are shared with families, providers, and the general public. _____

2.5 Procedures for Providing Information on Developmental Screenings

Lead Agencies are required to provide information on developmental screenings, including information on resources and services that the State can deploy, such as the use of the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program carried out under title XIX of the Social Security Act and developmental screening services available under IDEA Part B, Section 619 and Part C, in conducting those developmental screenings and in providing referrals to services for children who receive subsidies. Lead Agencies must also include a description of how a family or child care provider can use these resources and services to obtain developmental screenings for children who receive subsidies and who might be at risk of cognitive or other developmental delays, which can include social, emotional, physical, or linguistic delays (658E(c)(2)(E)(ii)). Lead Agencies are required to provide this information to eligible families during CCDF intake and to child care providers through training and education (98.33(c)).

2.5.1 Certify by describing:

a) How the Lead Agency collects and disseminates information on existing resources and services available for conducting developmental screenings to CCDF parents, the general public, and where applicable, child care providers (98.15(b)(3)). _____

b) The procedures for providing information on and referring families and child care providers to the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid

program—carried out under Title XIX of the Social Security Act (42 U.S.C. 1396 et seq.)—and developmental screening services available under Part B, Section 619 and Part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.). _____

c) How the Lead Agency gives information on developmental screenings to parents receiving a subsidy as part of the intake process. Include the information provided, ways it is provided, and any partners in this work. _____

d) How CCDF families or child care providers receiving CCDF can use the available resources and services to obtain developmental screenings for CCDF children at risk for cognitive or other developmental delays. _____

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

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

2.6 Consumer Statement for Parents Receiving CCDF Funds

Lead Agencies must provide CCDF parents with a consumer statement in hard copy or electronically (such as referral to a consumer education website) that contains specific information about the child care provider they select. This information about the child care provider selected by the parent includes health and safety requirements met by the provider, any licensing or regulatory requirements met by the provider, the date the provider was last inspected, any history of violations of these requirements, and any voluntary quality standards met by the provider. It must also describe how CCDF subsidies are designed to promote equal access, how to submit a complaint through a hotline, and how to contact local resource and referral agencies or other community-based supports that assist parents in finding and enrolling in quality child care (98.33(d)). Please note that if the consumer statement is provided electronically, Lead Agencies should consider how to ensure that the statement is accessible to parents and that parents have a way to contact someone to address questions they have.

2.6.1 Certify by describing:

a) How the Lead Agency provides parents receiving CCDF funds with a consumer statement. _____

b) What is included in the statement, including when the consumer statement is provided to families. _____

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

3 Provide Stable Child Care Financial Assistance to Families

In providing child care assistance to families, Lead Agencies are required to implement these policies and procedures: a minimum 12-month eligibility and redetermination periods, a process to account for irregular fluctuations in earnings, a policy ensuring that families' work schedules are not disrupted by program requirements, policies to provide for a job search of not fewer

than 3 months if the Lead Agency exercises the option to discontinue assistance, and policies for the graduated phase-out of assistance. In addition, procedures for the enrollment of children experiencing homelessness and children in foster care, if served, pending the completion of documentation, are required.

Note: Lead Agencies are not prohibited from establishing policies that extend eligibility beyond 12 months to align program requirements. For example, Lead Agencies can allow children enrolled in Head Start, Early Head Start, state or local prekindergarten, and other collaborative programs to finish the program year. This type pf policy promotes continuity for families receiving services through multiple benefit programs.

In this section, Lead Agencies will identify how they define eligible children and families and how the Lead Agency improves access for vulnerable children and families. This section also addresses the policies that protect working families and determine a family's contribution to the child care payment.

3.1 Eligible Children and Families

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

3.1.1 Eligibility criteria based on a child's age

a) The CCDF program serves children from _____ (weeks/months/years) through_____years (under age 13). *Note:* Do not include children incapable of self-care or under court supervision, who are reported below in (b) and (c).

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

- ☐ No
- ☐ Yes, and the upper age is _____ (may not equal or exceed age 19). If yes, provide the Lead Agency definition of physical and/or mental incapacity: _____

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

- ☐ No
- ☐ Yes, and the upper age is _____ (may not equal or exceed age 19).

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

"residing with": _____

"in loco parentis": _____

3.1.2 Eligibility criteria based on reason for care

a) How does the Lead Agency define "working or attending a job training and educational program" for the purposes of CCDF eligibility at the time of determination? Provide the definitions below for:

"Working" (including activities and any hour requirements): _____

"Job training" (including activities and any hour requirements): _____

"Education" (including activities and any hour requirements): _____

"Attending job training or education" (e.g. number of hours, travel time): _____

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

☐ No. If no, describe the additional work requirements: _____

☐ Yes. If yes, describe the policy or procedure: _____

c) Does the Lead Agency consider seeking employment (engaging in a job search) an eligible activity at initial eligibility determination (at application) and at the 12-month eligibility redetermination? (Note: If yes, Lead Agencies must provide a minimum of three months of job search)

☐ No

☐ Yes. If yes, describe the policy or procedure (including any differences in eligibility at initial eligibility determination vs. redetermination of eligibility):_____

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

☐ No

☐ Yes. If yes:

i. Please provide the Lead Agency's definition of "protective services": _____
Note: Federal requirements allow other vulnerable children identified by the Lead Agency not formally in child protection to be included in the Lead Agency's definition of protective services for CCDF purposes. A Lead Agency may elect to provide CCDF-funded child care to children in foster care when foster care parents are *not* working or are *not* in education/training activities, but this provision should be included in the protective services definition above.

ii. Are children in foster care considered to be in protective services for the purposes of eligibility at determination?

☐ No

☐ Yes

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

☐ No

☐ Yes

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

☐ No
☐ Yes

3.1.3 Eligibility criteria based on family income. Note: The question in 3.1.3 relates to initial determination. Redetermination is addressed in 3.1.7.

a) How does the Lead Agency define "income" for the purposes of eligibility at the point of initial determination? _____

b) Provide the CCDF income eligibility limits in the table below at the time of initial determination. Complete columns (a) and (b) based on maximum eligibility at initial entry into CCDF. Complete columns (c) and (d) *only if* the Lead Agency is using income eligibility limits lower than 85 percent of the current state median income (SMI) at the initial eligibility determination point. Fill in the chart based on the most populous area of the state (the area serving the highest number of CCDF children). If the income eligibility limits are not statewide, please respond to c) below the table.

	(a)	**(b)**	**(c)**	**(d)**
Family Size	**100% of SMI ($/Month)**	**85% of SMI ($/Month) [Multiply (a) by 0.85]**	**(IF APPLICABLE) ($/Month) Maximum Initial or First Tier Income Limit (or Threshold) if Lower Than 85% of Current SMI**	**(IF APPLICABLE) (% of SMI) [Divide (c) by (a), multiply by 100] Income Level if Lower Than 85% of Current SMI**
1				
2				
3				
4				
5				

c) If the income eligibility limits are not statewide, describe how many jurisdictions set their own income eligibility limits and provide the income limit ranges across the jurisdictions (e.g. range from [lowest limit] to [highest limit])(98.16(i)(3)). _____

Reminder: Income limits must be established and reported in terms of current SMI based on the most recent data published by the Bureau of the Census (98.20(a)(2)(i)) even if the federal poverty level is used in implementing the program. SMI guidelines are available at: https://www.acf.hhs.gov/ocs/resource/liheap-im2017-03.

d) SMI source and year. _____

e) Identify the most populous area of the State used to complete the chart above._____

f) What was the date that these eligibility limits in column (c) became effective? _____

g) Provide the citation or link, if available, for the income eligibility limits. _____

3.1.4 Lead Agencies are required to ensure that children receiving CCDF funds do not have family assets that exceed $1,000,000, as certified by a family member (98.20(a)(2)(ii)).

a) Describe how the family member certifies that family assets do not exceed $1,000,000 (e.g., a checkoff on the CCDF application). _____

b) Does the Lead Agency waive the asset limit on a case-by-case basis for families defined as receiving, or in need of, protective services?

☐ No

☐ Yes. If yes, describe the policy or procedure and provide citation: _____

3.1.5 Describe any additional eligibility conditions or priority rules, which should only be applied by the Lead Agency during eligibility determination or redetermination (98.20(b)). _____

3.1.6 Lead Agencies are required to take into consideration children's development and promote continuity of care when authorizing child care services (98.21(f); 98.16(h)(6)). Check the approaches, if applicable, that the Lead Agency uses when considering children's development and promoting continuity of care when authorizing child care services.

☐ Coordinating with Head Start, prekindergarten, or other early learning programs to create a package of arrangements that accommodates parents' work schedules

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

☐ Establishing minimum eligibility periods greater than 12 months

☐ Using cross-enrollment or referrals to other public benefits

☐ Working with IDEA Part B, Section 619 and Part C staff to explore how services included in a child's IEP or IFSP can be supported and/or provided onsite and in collaboration with child care services

☐ Providing more intensive case management for families with children with multiple risk factors;

☐ Implementing policies and procedures that promote universal design to ensure that activities and environments are accessible to all children, including children with sensory, physical, or other disabilities

☐ Other. Describe: _____

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

Lead Agencies are required to provide for a graduated phase-out of assistance for families whose income has increased above the state's initial income threshold at the time of redetermination but remains below the federal threshold of 85 percent of the state median income. Providing a graduated phase-out promotes continuity by allowing for wage growth, allows for a tapered transition out of the child care subsidy program as income increases, and supports long-term self-sufficiency for families.

Lead Agencies that establish initial family income eligibility below 85 percent of SMI must provide a graduated phase-out by implementing a two-tiered eligibility threshold, with the second tier of eligibility (used at the time of eligibility redetermination) to be set at:

i. 85 percent of SMI for a family of the same size
ii. An amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold that:

(A) Takes into account the typical household budget of a low-income family
(B) Provides justification that the second eligibility threshold is:
(*1*) Sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability
(*2*) Reasonably allows a family to continue accessing child care services without unnecessary disruption.

At redetermination, a child shall be considered eligible if his or her parents are working or attending a job training or educational program even if their income exceeds the Lead Agency's income limit to initially qualify for assistance as long as their income does not exceed the second tier of eligibility (98.21(a); 98.21(b)(1)). Note that once deemed eligible, the family shall be considered eligible for a full minimum 12-month eligibility period, even if their income exceeds the second tier of eligibility during the eligibility period, as long as it does not exceed 85 percent of SMI.

A family eligible for services via the graduated phase-out of assistance is considered eligible under the same conditions as other eligible families with the exception of the copayment restrictions, which do not apply to a graduated phase-out. To help families transition from child care assistance, Lead Agencies may gradually adjust copay amounts for families whose children are determined eligible under a graduated phase-out and may require additional reporting on changes in family income. However, Lead Agencies must still ensure that any additional reporting requirements do not constitute an undue burden on families.

a) Check and describe the option that best identifies the Lead Agency's policies and procedures regarding the graduated phase-out of assistance.

☐ N/A. The Lead Agency sets its initial eligibility threshold at 85 percent of SMI and, therefore, is not required to provide a graduated phase-out period.

☐ N/A. The Lead Agency sets its exit eligibility threshold at 85 percent of SMI and, therefore, is not required to provide a graduated phase-out period.

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

- Describe the policies and procedures. _____
- Provide the citation for this policy or procedure. _____

☐ The Lead Agency sets the second tier of eligibility at an amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold.

- Provide the second tier of eligibility for a family of three. _____
- Describe how the second eligibility threshold:

i. Takes into account the typical household budget of a low-income family: _____

ii. Is sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability: _____

iii. Reasonably allows a family to continue accessing child care services without unnecessary disruption: _____

iv. Provide the citation for this policy or procedure: _____

☐ Other. Identify and describe the components that are still pending per the instructions on *CCDF Plan Response Options for Areas Where Implementation Is Still in Progress* in the introduction. _____

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

☐ No

☐ Yes

i. If yes, describe how the Lead Agency gradually adjusts copays for families under a graduated phase-out. _____

ii. If yes, does the Lead Agency require additional reporting requirements during the graduated phase-out period? (*Note:* Additional reporting requirements are also discussed in section 3.3.3 of the Plan.)

☐ No.

☐ Yes. Describe: _____

3.1.8 Fluctuation in earnings.

Lead Agencies are required to demonstrate how their processes for initial determination and redetermination take into account irregular fluctuations in earnings (658E(c)(2)(N)(i)(II)). The Lead Agency must put in place policies that ensure that temporary increases in income, including temporary increases that can result in a monthly income exceeding 85 percent of SMI (calculated on a monthly basis) from seasonal employment or other temporary work schedules, do not affect eligibility or family co-payments (98.21(c)). Check the processes, if applicable, that the Lead Agency uses to take into account irregular fluctuations in earnings and describe, at a minimum, how temporary increases that result in a monthly income exceeding 85 percent of SMI (calculated on a monthly basis) do not affect eligibility or family co-payments.

☐ Average the family's earnings over a period of time (i.e., 12 months). Describe: _____

☐ Request earning statements that are most representative of the family's monthly income. Describe: _____

☐ Deduct temporary or irregular increases in wages from the family's standard income level. Describe: _____

☐ Other. Describe: _____

3.1.9 Lead Agencies are required to have procedures for documenting and verifying that children receiving CCDF funds meet eligibility criteria at the time of eligibility determination and

redetermination (98.68(c)). Lead Agencies should note that there are no federal requirements for specific documentation or verification procedures. Check the information that the Lead Agency documents and verifies and describe, at a minimum, what information is required and how often. Check all that apply.

- ☐ Applicant identity. Describe: _____
- ☐ Applicant's relationship to the child. Describe: _____
- ☐ Child's information for determining eligibility (e.g., identity, age, citizen/immigration status). Describe: _____
- ☐ Work. Describe: _____
- ☐ Job training or educational program. Describe: _____
- ☐ Family income. Describe: _____
- ☐ Household composition. Describe: _____
- ☐ Applicant residence. Describe: _____
- ☐ Other. Describe: _____

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

- ☐ Time limit for making eligibility determinations. Describe length of time: _____
- ☐ Track and monitor the eligibility determination process
- ☐ Other. Describe: _____
- ☐ None

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

Lead Agencies are required to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child younger than age 6 (98.16(v); 98.33(f)).

Lead Agencies must coordinate with TANF programs to ensure that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the state/territory TANF agency in accordance with Section 407(e)(2) of the Social Security Act.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care.

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

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

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 the individual penalties associated with the TANF work requirements?

☐ In writing

☐ Verbally

☐ Other. Describe: _____

d) Provide the citation for the TANF policy or procedure:_____

3.2 Increasing Access for Vulnerable Children and Families

Lead Agencies are required to give priority for child care assistance to children with special needs, which can include vulnerable populations, in families with very low incomes and to children experiencing homelessness (658E(c)(3)(B); 98.46(a)). The prioritization of CCDF assistance services is not limited to eligibility determination (i.e., the establishment of a waiting list or the ranking of eligible families in priority order to be served).

Note: CCDF defines "child experiencing homelessness" as a child who is homeless, as defined in Section 725 of Subtitle VII-B of the McKinney-Vento Act (42 U.S.C. 11434a) (98.2).

3.2.1 Describe how the Lead Agency defines:

a) "Children with special needs": _____

b) "Families with very low incomes" : _____

3.2.2 Describe how the Lead Agency will prioritize or target child care services for the following children and families.

a) Identify how services are prioritized for children with special needs. Check all that apply:

☐ Prioritize for enrollment

☐ Serve without placing these populations on waiting lists

☐ Waive co-payments

☐ Pay higher rates for access to higher quality care

☐ Use grants or contracts to reserve slots for priority populations

☐ Other. Describe:_____

b) Identify how services are prioritized for families with very low incomes. Check all that apply:

☐ Prioritize for enrollment

☐ Serve without placing these populations on waiting lists

☐ Waive co-payments

- ☐ Pay higher rates for access to higher quality care
- ☐ Use grants or contracts to reserve slots for priority populations
- ☐ Other. Describe:_____

c) Identify how services are prioritized for children experiencing homelessness, as defined by the CCDF. Check all that apply:

- ☐ Prioritize for enrollment
- ☐ Serve without placing these populations on waiting lists
- ☐ Waive co-payments
- ☐ Pay higher rates for access to higher quality care
- ☐ Use grants or contracts to reserve slots for priority populations
- ☐ Other. Describe:_____

d) Identify how services are prioritized, if applicable, for families receiving TANF program funds, those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF (98.16(i)(4)). Check all that apply:

- ☐ Prioritize for enrollment
- ☐ Serve without placing these populations on waiting lists
- ☐ Waive co-payments
- ☐ Pay higher rates for access to higher quality care
- ☐ Use grants or contracts to reserve slots for priority populations
- ☐ Other. Describe:_____

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

3.2.4 Describe how the Lead Agency prioritizes services for the additional priority groups identified in 3.2.3. _____

3.2.5 Lead Agencies are required to expend CCDF funds to (1) permit the enrollment (after an initial eligibility determination) of children experiencing homelessness while required documentation is obtained, (2) provide training and TA to child care providers and the appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (addressed in section 6), and (3) conduct specific outreach to families experiencing homelessness(658E(c)(3); 98.51).

a) Describe the procedures to permit the enrollment of children experiencing homelessness while required documentation is obtained. _____

b) Check, where applicable, the procedures used to conduct outreach for children experiencing homelessness (as defined by CCDF Rule) and their families.

- ☐ Lead Agency accepts applications at local community-based locations
- ☐ Partnerships with community-based organizations
- ☐ Partnering with homeless service providers, McKinney-Vento liaisons, and others who work with families experiencing homelessness to provide referrals to child care

☐ Other: _____

Note: The Lead Agency shall pay any amount owed to a child care provider for services provided as a result of the initial eligibility determination, and any CCDF payment made prior to the final eligibility determination shall not be considered an error or improper payment (98.51(a)(1)(ii)).

3.2.6 Lead Agencies must establish a grace period that allows children experiencing homelessness and children in foster care to receive CCDF assistance while providing their families with a reasonable time to take any necessary actions to comply with immunization and other health and safety requirements (as described in section 5). The length of such a grace period shall be established in consultation with the state, territorial, or tribal health agency (658E(c)(2)(I)(i)(I); 98.41(a)(1)(i)(C)).

Note: Any payment for such a child during the grace period shall not be considered an error or improper payment (98.41(a)(1)(i)(C)(2)).

a) Describe procedures to provide a grace period to comply with immunization and other health and safety requirements, including how the length of the grace period was established in consultation with the state, territorial, or tribal health agency for:

- Children experiencing homelessness (as defined by the Lead Agency's CCDF Rule). _____ Provide the citation for this policy and procedure. _____
- Children who are in foster care. _____ Provide the citation for this policy and procedure. _____

b) Describe how the Lead Agency coordinates with licensing agencies and other relevant state, territorial, tribal, and local agencies to provide referrals and support to help families with children receiving services during a grace period comply with immunization and other health and safety requirements (98.41(a)(1)(i)(C)(4)). _____

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

☐ No

☐ Yes. Describe: _____

3.3 Protection for Working Families

3.3.1 12-Month eligibility.

The Lead Agency is required to establish a minimum 12-month eligibility and redetermination period, regardless of changes in income (as long as the income does not exceed the federal threshold of 85 percent of the state median income) or temporary changes in participation in work, training, or educational activities (658E(c)(2)(N)(i) and (ii)).

This change means that a Lead Agency may not terminate CCDF assistance during the 12-month period if a family has an increase in income that exceeds the state's income eligibility threshold, but not the federal threshold of 85 percent of SMI. The Lead Agency may not terminate assistance prior to the end of the 12-month period if a family experiences a temporary job loss or a temporary change in participation in a training or educational activity. A temporary change in eligible activity includes, at a minimum, any time-limited absence from work for an employed

parent due to such reasons as the need to care for a family member or an illness; any interruption in work for a seasonal worker who is not working; any student holiday or break for a parent participating in a training or educational program; any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program; any other cessation of work or attendance at a training or educational program that does not exceed 3 months or a longer period of time established by the Lead Agency; a child turning 13 years old during the 12-month eligibility period (except as described in 3.1.1); and any changes in residency within the state, territory, or tribal service area.

a) Describe the Lead Agency's policies and procedures in implementing the minimum 12-month eligibility and redetermination requirements, including when a family experiences a temporary change in activity. _____

b) How does the Lead Agency define "temporary change?" _____

c) Provide the citation for this policy and/or procedure. _____

3.3.2 Lead Agency's option to discontinue assistance during the 12-month eligibility period.

Lead Agencies have the option, but are not required, to discontinue assistance during the 12-month eligibility period due to a parent's *non-temporary* loss of work or cessation of attendance at a job training or educational program, otherwise known as a parent's eligible activity.

If the Lead Agency chooses the option to discontinue assistance due to a parent's *non-temporary* loss or cessation of eligible activity, it must continue assistance at least at the same level for a period of not fewer than 3 months after each such loss or cessation. This time period allows the parent to engage in a job search and to resume work or resume attendance in a job training or educational program. At the end of the minimum 3-month period of continued assistance, if the parent has engaged in a qualifying work, training, or educational program activity with an income below 85 percent of SMI, assistance cannot be terminated, and the child must continue receiving assistance until the next scheduled redetermination or, at the Lead Agency option, for an additional minimum 12-month eligibility period.

a) Does the Lead Agency discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss or cessation of eligible activity and offer a minimum 3-month period to allow parents to engage in a job search and to resume participation in an eligible activity?

☐ No, the state/territory does not allow this option to discontinue assistance during the 12-month eligibility period due to a parent's *non-temporary* loss of work or cessation of attendance at a job training or educational program.

☐ Yes, the Lead Agency discontinues assistance during the 12-month eligibility period due to a parent's *non-temporary* loss of work or cessation of eligible activity and provides a minimum 3-month period of job search. If yes:

i. Provide a summary describing the Lead Agency's policies and procedures for discontinuing assistance due to a parent's non-temporary change: _____

ii. Describe what specific actions/changes trigger the job-search period. _____

iii. How long is the job-search period (must be at least 3 months)? _____

iv. Provide the citation for this policy or procedure. _____

b) The Lead Agency may discontinue assistance prior to the next 12-month redetermination in the following limited circumstances. Check and describe any circumstances in which the Lead Agency chooses to discontinue assistance prior to the next 12-month redetermination. Check all that apply.

☐ Not applicable

☐ Excessive unexplained absences despite multiple attempts by the Lead Agency or designated entity to contact the family and provider, including the prior notification of a possible discontinuation of assistance.

i. Define the number of unexplained absences identified as excessive: _____

ii. Provide the citation for this policy or procedure: _____

☐ A change in residency outside of the state, territory, or tribal service area. Provide the citation for this policy or procedure: _____

☐ Substantiated fraud or intentional program violations that invalidate prior determinations of eligibility. Describe the violations that lead to discontinued assistance and provide the citation for this policy or procedure. _____

3.3.3 Change reporting during the 12-month eligibility period.

The Lead Agency must describe the requirements for parents to report changes in circumstances during the 12-month eligibility period and describe efforts to ensure that such requirements do not place an undue burden on eligible families, which could impact the continuity of care for children and stability for families receiving CCDF services (98.16(h)(1)).

Note: Responses should exclude reporting requirements for a graduated phase-out, which were described in question 3.1.7(b).

Families are required to report a change to the Lead Agency at any time during the 12-month eligibility period if the family's income exceeds 85 percent of the state median income, taking into account irregular fluctuations in income (98.21(e)(1)). If the Lead Agency chooses the option to terminate assistance, as described in section 3.3.2 of the Plan, they may require families to report a non-temporary change (as described in section 3.3.3 of the Plan) in work, training or educational activities (otherwise known as a parent's eligible activity).

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

☐ No

☐ Yes

b) Any additional reporting requirements during the 12-month eligibility period must be limited to items that impact a family's eligibility (e.g., income changes over 85 percent of SMI) or that impact the Lead Agency's ability to contact the family or pay the child care providers (e.g., a family's change of address, a change in the parent's choice of child care provider).

Check and describe any additional reporting requirements required by the Lead Agency during the 12-month eligibility period. Check all that apply.

- ☐ Additional changes that may impact a family's eligibility during the 12-month period. Describe: _____
- ☐ Changes that impact the Lead Agency's ability to contact the family. Describe: _____
- ☐ Changes that impact the Lead Agency's ability to pay child care providers. Describe: _____

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

c) How does the Lead Agency allow families to report changes to ensure that reporting requirements are not burdensome and to avoid an impact on continued eligibility between redeterminations? Check all that apply.

- ☐ Phone
- ☐ Email
- ☐ Online forms
- ☐ Extended submission hours
- ☐ Postal Mail
- ☐ Fax
- ☐ In-person submission
- ☐ Other. Describe: _____

d) Families must have the option to voluntarily report changes on an ongoing basis during the 12-month eligibility period.

Lead Agencies are required to act on information reported by the family if it will reduce the family's co-payment or increase the family's subsidy. Lead Agencies are prohibited from acting on information reported by the family that would reduce the family's subsidy unless the information reported indicates that the family's income exceeds 85 percent of SMI after considering irregular fluctuations in income or, at the option of the Lead Agency, the family has experienced a non-temporary change in eligible activity.

i. Describe any other changes that the Lead Agency allows families to report. _____
ii. Provide the citation for this policy or procedure. _____

3.3.4 Prevent the disruption of employment, education, or job training activities.

Lead Agencies are required to have procedures and policies in place to ensure that parents (especially parents receiving assistance under the TANF program) are not required to unduly disrupt their employment, education, or job training activities to comply with the Lead Agency's or designated local entity's requirements for the redetermination of eligibility for assistance (658E(c)(2)(N)(ii); 98.21(d)).

Examples include developing strategies to inform families and their providers of an upcoming redetermination and the information that will be required of the family, pre-populating subsidy renewal forms, having parents confirm that the information is accurate, and/or asking only for

the information necessary to make an eligibility redetermination. In addition, states and territories can offer a variety of family-friendly methods for submitting documentation for eligibility redetermination that considers the range of needs for families in accessing support (e.g., use of languages other than English, access to transportation, accommodation of parents working non-traditional hours).

a) Identify, where applicable, the Lead Agency's procedures and policies to ensure that parents (especially parents receiving TANF program funds) do not have their employment, education, or job training unduly disrupted to comply with the state/territory's or designated local entity's requirements for the redetermination of eligibility.

- ☐ Advance notice to parents of pending redetermination
- ☐ Advance notice to providers of pending redetermination
- ☐ Pre-populated subsidy renewal form
- ☐ Online documentation submission
- ☐ Cross-program redeterminations
- ☐ Extended office hours (evenings and/or weekends)
- ☐ Other: _____

b) How are families allowed to submit documentation, described in 3.1.9, for redetermination? Check all that apply.

- ☐ Postal Mail
- ☐ Email
- ☐ Online forms
- ☐ Fax
- ☐ In-person
- ☐ Extended submission hours
- ☐ Other. Describe:

3.4 Family Contribution to Payments

Lead Agencies are required to establish and periodically revise a sliding-fee scale for CCDF families that varies based on income and the size of the family to determine each family's contribution (i.e., co-payment) that is not a barrier to families receiving CCDF funds (658E(c)(5)). In addition to income and the size of the family, the Lead Agency may use other factors when determining family contributions/co-payments. Lead Agencies, however, may NOT use cost of care or amount of subsidy payment in determining co-payments (98.45(k)(2)).

Note: To help families transition off child care assistance, Lead Agencies may gradually adjust co-pay amounts for families determined to be eligible under a graduated phase-out. However, section 3.4 applies *only* to families in their initial/entry eligibility period. See section 3.1.7 Graduated Phase-Out regarding co-pays during the graduated phase-out period.

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

a) Fill in the chart based on the most populous area of the State (area serving highest number of CCDF children).

	(a)	(b)	(c)	(d)	(e)	(f)
Family Size	**Lowest Initial or First Tier Income Level Where Family Is First Charged Co-Pay (Greater Than $0)**	**What Is the Monthly Co-Payment for a Family of This Size Based on the Income Level in (a)?**	**The Co-Payment in Column (b) is What Percentage of the Income in Column (a)?**	**Highest Initial or First Tier Income Level Before a Family Is No Longer Eligible**	**What Is the Monthly Co-Payment for a Family of This Size Based on the Income Level in (d)?**	**The Co-Payment in Column (e) is What Percentage of the Income in Column (d)?**
1						
2						
3						
4						
5						

b) What is the effective date of the sliding-fee scale(s)? _____

c) Identify the most populous area of the state used to complete the chart above. _____

d) Provide the link to the sliding-fee scale: _____

e) If the sliding-fee scale is not statewide, describe how many jurisdictions set their own sliding-fee scale (98.16(i)(3)). _____

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

☐ The fee is a dollar amount and:

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

☐ The fee is a percent of income and:

- ☐ The fee is per child, with the same percentage applied for each child.
- ☐ The fee is per child, and a discounted percentage is applied for two or more children.
- ☐ The fee is per child up to a maximum per family.
- ☐ No additional percentage is charged after certain number of children.

- ☐ The fee is per family.
- ☐ The contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1). Describe: _____
- ☐ Other. Describe: _____

3.4.3 Does the Lead Agency use other factors in addition to income and family size to determine each family's co-payment (658E(c)(3)(B))? Reminder – Lead Agencies may NOT use cost of care or amount of subsidy payment in determining co-payments (98.45(k)(2)).

- ☐ No
- ☐ Yes. If yes, check and describe those additional factors below.
  - ☐ Number of hours the child is in care. Describe: _____
  - ☐ Lower co-payments for a higher quality of care, as defined by the state/territory. Describe: _____
  - ☐ Other. Describe: _____

3.4.4 The Lead Agency may waive contributions/co-payments from families whose incomes are at or below the poverty level for a family of the same size (98.45(k)) or for families who are receiving or needing to receive protective services, as determined for purposes of CCDF eligibility, or who meet other criteria established by the Lead Agency (98.45(k)(4)). Does the Lead Agency waive family contributions/co-payments for any of the following? Check all that apply.

- ☐ No, the Lead Agency does not waive family contributions/co-payments.
- ☐ Yes, the Lead Agency waives family contributions/co-payments for families with an income at or below the Federal poverty level for families of the same size.
- ☐ Yes, the Lead Agency waives family contributions/co-payments for families who are receiving or needing to receive protective services, as determined by the Lead Agency for purposes of CCDF eligibility. Describe the policy and provide the policy citation. _____.
- ☐ Yes, the Lead Agency waives family contributions/co-payments for other criteria established by the Lead Agency. Describe the policy and provide the policy citation. _____.

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

A core purpose of CCDF is to promote parental choice and to empower working parents to make their own decisions regarding the child care services that best suit their family's needs. Parents have the option to choose from center-based care, family child care or care provided in the child's own home In supporting parental choice, the Lead Agencies must ensure that families receiving CCDF funding have the opportunity to choose from the full range of eligible child care settings and must provide families with equal access to child care that is comparable to that of non-CCDF families. Lead Agencies must employ strategies to increase the supply and to improve the quality of child care services, especially in underserved areas. This section addresses strategies that the Lead Agency uses to promote parental choice, ensure equal access, and increase the supply of child care. Note: In responding to questions in this section, the Office of Child Care (OCC) recognizes that each State/Territory identifies and defines its own categories

and types of care. The OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories and types of care. For these questions, provide responses that closely match the CCDF categories of care.

4.1 Parental Choice in Relation to Certificates, Grants, or Contracts

The parent(s) of each eligible child who receive(s) or is offered financial assistance for child care services has the option of either receiving a child care certificate or, if available, enrolling his or her child with a provider that has a grant or contract for providing child care services (658E(c)(2)(A); 98.30(a)). Even if a parent chooses to enroll his or her child with a provider who has a grant or contract, the parent will select the provider, to the extent practicable. If a parent chooses to use a certificate, the Lead Agency shall provide information to the parent on the range of provider options, including care by sectarian providers and relatives. Lead Agencies must require providers chosen by families to meet health and safety standards and has the option to require higher standards of quality. Lead agencies are reminded that any policies and procedures should not restrict parental access to any type of care or provider (e.g. center care, home care, in-home care, for-profit provider, non-profit provider or faith-based provider, etc.) (98.15 (a)(5)).

4.1.1 Describe the child care certificate, including when it is issued to parents (before or after the parent has selected a provider) and what information is included on the certificate (98.16 (q)).

_____

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

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

4.1.3 Child care services available through grants or contracts.

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

- ☐ No. If no, skip to 4.1.4.
- ☐ Yes, in some jurisdictions but not statewide. If yes, describe how many jurisdictions use grants or contracts for child care slots. _____
- ☐ Yes, statewide. If yes, describe:

i. How the Lead Agency ensures that parents who enroll with a provider who has a grant or contract have choices when selecting a provider: _____
ii. The type(s) of child care services available through grants or contracts: _____
iii. The entities that receive contracts (e.g., shared services alliances, CCR&R agencies, FCC networks, community-based agencies, child care providers): _____
iv. The process for accessing grants or contracts: _____
v. How rates for contracted slots are set through grants and contracts: _____
vi. How the Lead Agency determines which entities to contract with for increasing supply and/or improving quality: _____
vii. If contracts are offered statewide and/or locally: _____

b) Will the Lead Agency use grants or contracts for child care services to increase the supply of specific types of care? Check all that apply.

- ☐ Programs to serve children with disabilities
- ☐ Programs to serve infants and toddlers
- ☐ Programs to serve school-age children
- ☐ Programs to serve children needing non-traditional hour care
- ☐ Programs to serve children experiencing homelessness
- ☐ Programs to serve children in underserved areas
- ☐ Programs that serve children with diverse linguistic or cultural backgrounds
- ☐ Programs that serve specific geographic areas
  - ☐ Urban
  - ☐ Rural
- ☐ Other _____

c) Will the Lead Agency use grants or contracts for child care services to increase the quality of specific types of care? Check all that apply.

- ☐ Programs to serve children with disabilities
- ☐ Programs to serve infants and toddlers
- ☐ Programs to serve school-age children
- ☐ Programs to serve children needing non-traditional hour care
- ☐ Programs to serve children experiencing homelessness
- ☐ Programs to serve children in underserved areas
- ☐ Programs that serve children with diverse linguistic or cultural backgrounds
- ☐ Programs that serve specific geographic areas
  - ☐ Urban
  - ☐ Rural
- ☐ Other _____

4.1.4 Certify by describing the Lead Agency's procedures for ensuring that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds (658E(c)(2)(B); 98.16(t)). _____

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

- ☐ No
- ☐ Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all that apply.
  - ☐ Restricted based on minimum the number of children in the care of the provider to meet the Fair Labor Standards Act (minimum wage) requirements. Describe: _____
  - ☐ Restricted based on the provider meeting a minimum age requirement. (A relative provider must be at least 18 years of age based on the definition of eligible child care provider (98.2). Describe: _____
  - ☐ Restricted based on the hours of care (i.e., certain number of hours, non-traditional work hours). Describe: _____
  - ☐ Restricted to care by relatives. Describe: _____
  - ☐ Restricted to care for children with special needs or a medical condition. Describe: _____
  - ☐ Restricted to in-home providers that meet additional health and safety requirements beyond those required by CCDF. Describe: _____
  - ☐ Other. Describe: _____

4.2 Assessing Market Rates and Child Care Costs

Lead Agencies have the option to conduct a statistically valid and reliable (1) market rate survey (MRS) reflecting variations in the price to parents of child care services by geographic area, type of provider, and age of child and/or (2) an alternative methodology, such as a cost estimation model (658E(c)(4)(B)). A cost estimation model estimates the cost of care by incorporating both data and assumptions to model what expected costs would be incurred by child care providers and parents under different cost scenarios. Another approach would be a cost study that collects cost data at the facility or program level to measure the costs (or inputs used) to deliver child care services. The MRS or alternative methodology must be developed and conducted no earlier than 2 years before the date of submission of the Plan.

Note: Any Lead Agency considering using an alternative methodology, instead of a market rate survey, is required to submit a description of its proposed approach to its ACF Regional Child Care Program Office for pre-approval in advance of the Plan submittal (see https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-08). Advance approval is not required if the Lead Agency plans to implement both a market rate survey and an alternative methodology. In its request for ACF pre-approval, a Lead Agency must:

- Provide an overview of the Lead Agency's proposed approach (e.g., cost estimation model, cost study/survey, etc.), including a description of data sources.
- Describe how the Lead Agency will consult with the State's Early Childhood Advisory Council or similar coordinating body, local child care program administrators, local child care resource and referral agencies, organizations representing child care caregivers, teachers

and directors, and other appropriate entities prior to conducting the identified alternative methodology.

- Describe how the alternative methodology will use methods that are statistically valid and reliable and will yield accurate results. For example, if using a survey, describe how the Lead Agency will ensure a representative sample and promote an adequate response rate. If using a cost estimation model, describe how the Lead Agency will validate the assumptions in the model.
- If the proposed alternative methodology includes an analysis of costs (e.g., cost estimation model or cost study/survey), describe how the alternative methodology will account for key factors that impact the cost of providing care—such as: staff salaries and benefits, training and professional development, curricula and supplies, group size and ratios, enrollment levels, licensing requirements, quality level, facility size, and other factors.
- Describe how the alternative methodology will provide complete information that captures the universe of providers in the child care market.
- Describe how the alternative methodology will reflect variations by provider type, age of children, geographic location and quality.
- Describe how the alternative methodology will use current, up-to-date data.
- Describe the estimated reporting burden and cost to conduct the approach.

4.2.1 Please identify the methodology(ies) used below to assess child care prices and/or costs.

☐ MRS

☐ Alternative methodology. Describe: _____

☐ Both. Describe: _____

4.2.2 Prior to developing and conducting the MRS or alternative methodology, the Lead Agency is required to consult with the (1) State Advisory Council or similar coordinating body, local child care program administrators, local child care resource and referral agencies, and other appropriate entities and (2) organizations representing caregivers, teachers, and directors (98.45 (e)).

Describe how the Lead Agency consulted with the:

a) State Advisory Council or similar coordinating body:

b) Local child care program administrators:

c) Local child care resource and referral agencies:

d) Organizations representing caregivers, teachers, and directors:

e) Other. Describe:

4.2.3 Describe how the market rate survey is statistically valid and reliable. To be considered valid and reliable, the MRS must represent the child care market, provide complete and current data, use rigorous data collection procedures, reflect geographic variations, and analyze data in a manner that captures other relevant differences. For example, market rate surveys can use administrative data, such as child care resource and referral data, if they are representative of the market. If an alternative methodology, such as cost modeling, is used, demonstrate that the methodology used reliable methods. _____

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

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

b) Type of provider. Describe: _____

c) Age of child. Describe: _____

d) Describe any other key variations examined by the market rate survey or alternative methodology, such as quality level. _____

4.2.5 After conducting the market rate survey or alternative methodology, the Lead Agency must prepare a detailed report containing the results of the MRS or alternative methodology. The detailed report must also include the estimated cost of care (including any relevant variation by geographic location, category of provider, or age of child) necessary to support (1) child care providers' implementation of the health, safety, quality, and staffing requirements and (2) higher quality care, as defined by the Lead Agency using a quality rating and improvement system or other system of quality indicators, at each level of quality. For States without a QRIS, the States may use other quality indicators (e.g. provider status related to accreditation, pre-K standards, Head Start performance standards, or State defined quality measures.)

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

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

a) Date of completion of the market rate survey or alternative methodology (must be no earlier than July 1, 2016, and no later than July 1, 2018). _____

b) Date the report containing results was made widely available—no later than 30 days after the completion of the report. _____

c) Describe how the Lead Agency made the detailed report containing results widely available and provide the link where the report is posted. _____

d) Describe how the Lead Agency considered stakeholder views and comments in the detailed report. _____

4.3 Setting Payment Rates

The Lead Agency must set CCDF subsidy payment rates, in accordance with the results of the current MRS or alternative methodology, at a level to ensure equal access for eligible families to child care services that are comparable with those provided to families not receiving CCDF funds. The Lead Agency must re-evaluate its payment rates *at least* every 3 years.

4.3.1 Provide the base payment rates and percentiles (based on the most recent MRS) for the following categories below. Percentiles are not required if the Lead Agency conducted an alternative methodology only (with pre-approval from ACF), but must be reported if the Lead

Agency conducted an MRS alone or in combination with an alternative methodology. The ages and types of care listed below are meant to provide a snapshot of the categories on which rates can be based and are not intended to be comprehensive of all categories that might exist or to reflect the terms used by the Lead Agency for particular ages. Please use the most populous geographic region (area serving highest number of CCDF children) to report base payment rates below, if they are not statewide. Note: If the Lead Agency obtained approval to conduct an alternative methodology, then reporting of percentiles is not required.

a) Infant (6 months), full-time licensed center care in the most populous geographic region

Rate $_____ per _____ unit of time (e.g. daily, weekly, monthly)

Percentile of most recent MRS: _____

b) Infant (6 months), full-time licensed FCC home in the most populous geographic region

Rate $_____ per _____ unit of time (e.g. daily, weekly, monthly)

Percentile of most recent MRS: _____

c) Toddler (18 months), full-time licensed center care in the most populous geographic region

Rate $_____ per _____ unit of time (e.g. daily, weekly, monthly)

Percentile of most recent MRS: _____

d) Toddler (18 months), full-time licensed FCC home in the most populous geographic region

Rate $_____ per _____ unit of time (e.g. daily, weekly, monthly)

Percentile of most recent MRS: _____

e) Preschooler (4 years), full-time licensed center care in the most populous geographic region

Rate $_____ per _____ unit of time (e.g. daily, weekly, monthly)

Percentile of most recent MRS: _____

f) Preschooler (4 years), full-time licensed FCC home in the most populous geographic region

Rate $_____ per _____ unit of time (e.g. daily, weekly, monthly)

Percentile of most recent MRS: _____

g) School-age child (6 years), full-time licensed center care in most populous geographic region

Rate $_____per _____ unit of time (e.g. daily, weekly, monthly, etc.)

Percentile of most recent MRS: _____

h) School-age child (6 years), full-time licensed FCC home in the most populous geographic region

Rate $_____ per _____ unit of time (e.g. daily, weekly, monthly)

Percentile of most recent MRS: _____

i) Describe how part-time and full-time care were defined and calculated. _____

j) Provide the effective date of the current payment rates (i.e., date of last update based on most recent MRS as reported in 4.2.5). _____

k) Identify the most populous area of the state used to complete the responses above. _____

l) Provide the citation or link, if available, to the payment rates. _____

m) If the payment rates are not set by the Lead Agency for the entire state/territory, describe how many jurisdictions set their own payment rates (98.16(i)(3)). _____

4.3.2 Lead Agencies can choose to establish tiered rates, differential rates, or add-ons on top of their base rates as a way to increase payment rates for targeted needs (i.e., a higher rate for special needs children as both an incentive for providers to serve children with special needs and as a way to cover the higher costs to the provider to provide care for special needs children).

Check and describe the types of tiered reimbursement or differential rates, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, at a minimum, indicate the process and basis used for determining the tiered rates, including if the rates were based on the MRS and/or an alternative methodology, and the amount of the rate. Check all that apply.

☐ Differential rate for *non-traditional hours*. Describe: _____
☐ Differential rate for *children with special needs*, as defined by the state/territory. Describe: _____
☐ Differential rate for *infants and toddlers*. Note: Do not check if the Lead Agency has a different base rate for infants/toddlers with no separate bonus or add-on. Describe: _____
☐ Differential rate for *school-age programs*. Note: Do not check if the Lead Agency has a different base rate for school-age children with no separate bonus or add-on. Describe: _____
☐ Differential rate for *higher quality*, as defined by the state/territory. Describe: _____
☐ Other differential rates or tiered rates. Describe: _____
☐ Tiered or differential rates are not implemented.

4.4 Summary of Facts Used to Determine That Payment Rates Are Sufficient to Ensure Equal Access

4.4.1 Lead Agencies must certify that CCDF payment rates are sufficient to ensure equal access for eligible families to child care services comparable to those provided by families not receiving CCDF assistance (98.16(a)). Certify that payment rates reported in 4.3.1 are sufficient to ensure equal access by providing the following summary of facts (98.45(b)):

a) Describe how a choice of the full range of providers eligible to receive CCDF is made available; the extent to which eligible child care providers participate in the CCDF system; and any barriers to participation, including barriers related to payment rates and practices. _____

b) Describe how payment rates are adequate and have been established based on the **most recent MRS or alternative methodology**. Note: Per the preamble (81 FR 67512), in

instances where a MRS or alternative methodology indicates that prices or costs have increased, Lead Agencies must raise their rates as a result. _____

c) Describe how base payment rates enable providers to meet health, safety, quality, and staffing requirements under CCDF. _____

d) Describe how the Lead Agency took the cost of higher quality into account, including how payment rates for higher-quality care, as defined by the Lead Agency using a QRIS or other system of quality indicators, relate to the estimated cost of care at each level of quality. Note: For States without a QRIS, the States may use other quality indicators (e.g. provider status related to accreditation, pre-K standards, Head Start performance standards, or State defined quality measures). _____

e) How will the Lead Agency ensure that the family contribution/co-payment, based on a sliding-fee scale, is affordable and is not a barrier to families receiving CCDF funds (98.16 (k))? Check all that apply.

- ☐ Limit the maximum co-payment per family. Describe: _____
- ☐ Limit the combined amount of co-payment for all children to a percentage of family income. List the percentage of the co-payment limit and describe. _____
- ☐ Minimize the abrupt termination of assistance before a family can afford the full cost of care ("the cliff effect") as part of the graduated phase-out of assistance discussed in 3.1.7. Describe: _____
- ☐ Other. Describe: _____

f) To support parental choice and equal access to the full range of child care options, does the Lead Agency choose the option to allow providers to charge families additional amounts above the required co-payment in instances where the provider's price exceeds the subsidy payment (98.45(b)(5))?

- ☐ No
- ☐ Yes. If yes:
  - i. Provide the rationale for the Lead Agency's policy to allow providers to charge families additional amounts above the required co-payment, including a demonstration of how the policy promotes affordability and access for families. _____
  - ii. Provide data (including data on the size and frequency of such amounts) on the extent to which CCDF providers charge additional amounts to families. _____
  - iii. Describe the Lead Agency's analysis of the interaction between the additional amounts charged to families with the required family co-payment and the ability of current subsidy payment rates to provide access to care without additional fees. _____

g) Describe how Lead Agencies' payment practices described in 4.5 support equal access to a range of providers. _____

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

☐Geographic area. Describe: _____
☐Type of provider. Describe: _____
☐Age of child. Describe: _____
☐Quality level. Describe: _____
☐Other. Describe: _____

i) Describe any additional facts that the Lead Agency considered in determining its payment rates to ensure equal access. Check all that apply and describe:

- ☐ Payment rates are set at the 75th percentile benchmark or higher of the most recent MRS. Describe: _____
- ☐ Based on the approved alternative methodology, payment rates ensure equal access. Describe: _____
- ☐ Feedback from parents, including parent surveys or parental complaints. Describe: _____
- ☐ Other. Describe: _____

4.5 Payment Practices and the Timeliness of Payments

Lead Agencies are required to demonstrate that they have established payment practices applicable to all CCDF child care providers that include ensuring the timeliness of payments by either (1) paying prospectively prior to the delivery of services or (2) paying within no more than 21 calendar days of the receipt of a complete invoice for services. To the extent practicable, the Lead Agency must also support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by (1) paying based on a child's enrollment rather than attendance, (2) providing full payment if a child attends at least 85 percent of the authorized time, (3) providing full payment if a child is absent for 5 or fewer days in a month, or (4) using an alternative approach for which the Lead Agency provides a justification in its Plan (658E(c)(2)(S)(ii); 98.45(l)(2)).

Lead Agencies are required to use CCDF payment practices that reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF-funded assistance. Unless a Lead Agency is able to demonstrate that the following policies are not generally accepted in its particular state, territory, or service area or among particular categories or types of providers, Lead Agencies must (1) pay providers based on established part-time or full-time rates rather than paying for hours of service or smaller increments of time and (2) pay for reasonable, mandatory registration fees that the provider charges to private-paying parents (658E(c)(2)(S); 98.45(l)(3)).

In addition, there are certain other generally accepted payment practices that are required. Lead Agencies are required to ensure that child care providers receive payment for any services in accordance with a payment agreement or an authorization for services, ensure that child care providers receive prompt notice of changes to a family's eligibility status that could impact payment, and establish timely appeal and resolution processes for any payment inaccuracies and disputes (98.45(l)(4) through (6); 658E(c)(2)(S)(ii); 98.45(l)(4); 98.45(l)(5); 98.45(l)(6)).

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

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

- ☐ Paying prospectively prior to the delivery of services. Describe the policy or procedure. _____
- ☐ Paying within no more than 21 calendar days of the receipt of a complete invoice for services. Describe the policy or procedure. _____

b) To the extent practicable, support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by: (Note: The Lead Agency is to choose at least one of the following):

- ☐ Paying based on a child's enrollment rather than attendance. Describe the policy or procedure. _____
- ☐ Providing full payment if a child attends at least 85 percent of the authorized time. Describe the policy or procedure. _____
- ☐ Providing full payment if a child is absent for five or fewer days in a month. Describe the policy or procedure. _____
- ☐ Use an alternative approach for which the Lead Agency provides a justification in its Plan. If chosen, please describe the policy or procedure and the Lead Agency's justification for this approach. _____

c) The Lead Agency's payment practices reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF subsidies. These payment practices must include the following two practices unless the Lead Agency provides evidence that such practices are not generally accepted in its state (658E(c)(2)(S); 98.45(l)(3)).

i. Paying on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time). Describe the policy or procedure and include a definition of the time increments (e.g., part time, full-time). _____

ii. Paying for reasonable mandatory registration fees that the provider charges to private-paying parents. Describe the policy or procedure. _____

d) The Lead Agency ensures that providers are paid in accordance with a written payment agreement or an authorization for services that includes, at a minimum, information regarding provider payment policies, including rates, schedules, any fees charged to providers, and the dispute-resolution process. Describe: _____

e) The Lead Agency provides prompt notice to providers regarding any changes to the family's eligibility status that could impact payments, and such a notice is sent no later than the day that the Lead Agency becomes aware that such a change will occur. Describe: _____

f) The Lead Agency has a timely appeal and resolution process for payment inaccuracies and disputes. Describe: _____

g) Other. Describe: _____

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

☐ No, the practices do not vary across areas.

☐ Yes, the practices vary across areas. Describe: _____

4.6 Supply-Building Strategies to Meet the Needs of Certain Populations

Lead Agencies are required to develop and implement strategies to increase the supply of and to improve the quality of child care services for children in underserved areas; infants and toddlers; children with disabilities, as defined by the Lead Agency; and children who receive care during non-traditional hours. Lead Agencies are also required to identify shortages in the supply of high-quality providers (658 E(c)(2)(M); 98.16 (x)).

4.6.1 Lead Agencies must identify shortages in the supply of high-quality child care providers. List the data sources used to identify shortages, and describe the method of tracking progress to support equal access and parental choice.

☐ In licensed family child care. _____

☐ In licensed child care centers. _____

☐ Other. _____

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

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

☐ Grants and contracts (as discussed in 4.1.3). Describe: _____

☐ Family child care networks. Describe: _____

☐ Start-up funding. Describe: _____

☐ Technical assistance support. Describe: _____

☐ Recruitment of providers. Describe: _____

☐ Tiered payment rates (as discussed in 4.3.2). Describe: _____

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

☐ Accreditation supports. Describe: _____

☐ Child care health consultation. Describe: _____

☐ Mental health consultation. Describe _____

☐ Other. Describe _____

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

☐ Grants and contracts (as discussed in 4.1.3). Describe: _____

☐ Family child care networks. Describe: _____

☐ Start-up funding. Describe: _____

☐ Technical assistance support. Describe: _____

☐ Recruitment of providers. Describe: _____

- ☐ Tiered payment rates (as discussed in 4.3.2). Describe: _____
- ☐ Support for improving business practices, such as management training, paid sick leave, and shared services. Describe: _____
- ☐ Accreditation supports. Describe: _____
- ☐ Child care health consultation. Describe: _____
- ☐ Mental health consultation. Describe: _____
- ☐ Other. Describe: _____

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

- ☐ Grants and contracts (as discussed in 4.1.3). Describe: _____
- ☐ Family child care networks. Describe: _____
- ☐ Start-up funding. Describe: _____
- ☐ Technical assistance support. Describe: _____
- ☐ Recruitment of providers. Describe: _____
- ☐ Tiered payment rates (as discussed in 4.3.2). Describe: _____
- ☐ Support for improving business practices, such as management training, paid sick leave, and shared services. Describe: _____
- ☐ Accreditation supports. Describe: _____
- ☐ Child care health consultation. Describe: _____
- ☐ Mental health consultation. Describe: _____
- ☐ Other. Describe: _____

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

- ☐ Grants and contracts (as discussed in 4.1.3). Describe: _____
- ☐ Family child care networks. Describe: _____
- ☐ Start-up funding. Describe: _____
- ☐ Technical assistance support. Describe: _____
- ☐ Recruitment of providers. Describe: _____
- ☐ Tiered payment rates (as discussed in 4.3.2). Describe: _____
- ☐ Support for improving business practices, such as management training, paid sick leave, and shared services. Describe: _____
- ☐ Accreditation supports. Describe: _____
- ☐ Child care health consultation. Describe: _____
- ☐ Mental health consultation. Describe: _____
- ☐ Other. Describe: _____

e) Other. Check and describe all that apply:

- ☐ Grants and contracts (as discussed in 4.1.3). Describe: _____
- ☐ Family child care networks. Describe: _____
- ☐ Start-up funding. Describe: _____
- ☐ Technical assistance support. Describe: _____

- ☐ Recruitment of providers. Describe: _____
- ☐ Tiered payment rates (as discussed in 4.3.2). Describe _____
- ☐ Support for improving business practices, such as management training, paid sick leave, and shared services. Describe: _____
- ☐ Accreditation supports. Describe: _____
- ☐ Child care health consultation. Describe _____
- ☐ Mental health consultation. Describe: _____
- ☐ Other. Describe: _____

4.6.3 Lead Agencies must prioritize investments for increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and do not currently have sufficient numbers of such programs.

a) How does the Lead Agency define areas with significant concentrations of poverty and unemployment? _____

b) Describe how the Lead Agency prioritizes increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and that do not have high-quality programs. _____

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

Lead Agencies are required to certify that there are in effect licensing requirements applicable to all child care services in the state/territory, which supports the health and safety of all children in child care. States and territories may allow licensing exemptions. Lead Agencies must describe how such licensing exemptions do not endanger the health, safety, and development of CCDF children in license-exempt care (98.16 (u)).

Lead Agencies also must certify that there are in effect health and safety standards and training requirements applicable to providers serving CCDF children *whether they are licensed or license-exempt.* These health and safety requirements must be appropriate to the provider setting and age of the children served, must include specific topics and training on those topics, and are subject to monitoring and enforcement procedures.

The organization of this section begins with a description of the licensing system for providers of child care in a state or territory and then moves to focus on CCDF providers who may be licensed, exempt from licensing, or relative providers. The section then covers the health and safety requirements and training, and monitoring and enforcement procedures to ensure that CCDF child care providers comply with licensing and health and safety requirements (98.16(n)). Lead Agencies are also asked to describe any exemptions for relative providers (98.16(l)). This section also addresses group size limits; child-staff ratios; and required qualifications for caregivers, teachers, and directors (98.16(m)) serving CCDF children.

Note: When responding to questions in this section, the OCC recognizes that each State/Territory identifies and defines its own categories of care. The OCC does not expect

States/Territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care.

Criminal background check requirements are included in this section (98.16(o)). It is important to note that these requirements are in effect for all child care staff members who are licensed, regulated, or registered under state/territory law and all other providers eligible to deliver CCDF services.

5.1 Licensing Requirements

Each state/territory must certify it has in effect licensing requirements applicable to all child care services provided within the state/territory (not restricted to providers receiving CCDF funds) and provide a detailed description of these requirements and how the requirements are effectively enforced (658E(c)(2)(F)). If any types of providers are exempt from licensing requirements, the state/territory must describe those exemptions and describe how these exemptions do not endanger the health, safety, or development of children. The descriptions must also include any exemptions based on provider category, type, or setting; length of day; and providers not subject to licensing because the number of children served falls below a Lead Agency-defined threshold and any other exemption to licensing requirements (658E(c)(2)(F); 98.16(u); 98.40(a)(2)(iv)).

5.1.1 To certify, describe the licensing requirements applicable to child care services provided within the state/territory by identifying the providers in your state/territory that are subject to licensing using the CCDF categories listed below? Check all that apply and provide a citation to the licensing rule.

- ☐ Center-based child care. Describe and provide the citation: _____
- ☐ Family child care. Describe and provide the citation: _____
- ☐ In-home care (care in the child's own home). Describe and provide the citation (if applicable): _____

5.1.2 Describe if any providers are exempted from licensing requirements and how such exemptions do not endanger the health, safety, and development of children (658E (c)(2)(F); 98.40(a)(2)). Note: Additional information about exemptions related to CCDF providers is required in 5.1.3. _____

5.1.3 Check and describe any CCDF providers in your state/territory who are exempt from licensing (98.40(2)(i) through (iv))? Describe exemptions based on length of day, threshold on the number of children in care, ages of children in care or any other factors applicable to the exemption

- ☐ Center-based child care. If checked, describe the exemptions. _____
- ☐ Family child care. If checked, describe the exemptions. _____
- ☐ In-home care. If checked, describe the exemptions. _____

5.2 Health and Safety Standards and Requirements for CCDF Providers

5.2.1 Standards on ratios, group sizes, and qualifications for CCDF providers.

Lead Agencies are required to establish child care standards for providers receiving CCDF funds, appropriate to the type of child care setting involved, that address appropriate ratios between the number of children and number of providers in terms of the age of the children, group size limits for specific age populations, and the required qualifications for providers (658E(c)(2)(H); 98.41(d); 98.16(m)). For ease of responding, this section is organized by CCDF categories of care, licensing status, and age categories. Respondents should map their Lead Agency categories of care to the CCDF categories.

a) Licensed CCDF center-based care

1. Infant

- How does the State/territory define infant (age range): _____
- Ratio: _____
- Group size: _____
- Teacher/caregiver qualifications: _____

2. Toddler

- How does the State/territory define toddler (age range): _____
- Ratio: _____
- Group size: _____
- Teacher/caregiver qualifications: _____

3. Preschool

- How does the State/territory define preschool (age range): _____
- Ratio: _____
- Group size: _____
- Teacher/caregiver qualifications: _____

4. School-age

- How does the State/territory define school-age (age range): _____
- Ratio: _____
- Group size: _____
- Teacher/caregiver qualifications: _____

5. If any of the responses above are different for exempt child care centers, describe which requirements apply to exempt centers. _____

6. Describe, if applicable, ratios, group sizes, and qualifications for classrooms with mixed age groups. _____

7. Describe the director qualifications for licensed CCDF center-based care, including any variations based on the ages of children in care. _____

b) Licensed CCDF family child care provider

1. Infant

- How does the State/territory define infant (age range): _____
- Ratio: _____
- Group size: _____
- Teacher/caregiver qualifications: _____

2. Toddler

- How does the State/territory define toddler (age range): _____
- Ratio: _____
- Group size: _____
- Teacher/caregiver qualifications: _____

3. Preschool

- How does the State/territory define preschool (age range): _____
- Ratio: _____
- Group size: _____
- Teacher/caregiver qualifications: _____

4. School-age

- How does the State/territory define school-age (age range): _____
- Ratio: _____
- Group size: _____
- Teacher/caregiver qualifications: _____

5. If any of the responses above are different for exempt family child care homes, please describe which requirements apply to exempt homes. _____

c) In-home CCDF providers:

1. Describe the ratios. _____
2. Describe the group size. _____
3. Describe the maximum number of children that are allowed in the home at any one time. _____
4. Describe if the state/territory requires related children to be included in the child-to-provider ratio or group size. _____
5. Describe any limits on infants and toddlers or additional school-age children that are allowed for part of the day. _____

5.2.2 Health and safety standards for CCDF programs.

States and territories must establish health and safety standards for programs (e.g., child care centers, family child care homes, etc.) serving children receiving CCDF assistance relating to the topics listed below, as appropriate to the provider setting and age of the children served (98.41(a)). This requirement is applicable to all child care programs receiving CCDF funds regardless of licensing status (i.e., licensed or license-exempt). The only exception to this

requirement is for providers who are caring for their own relatives because Lead Agencies have the option of exempting relatives from some or all CCDF health and safety requirements (98.42(c)).

a) To certify, describe how the following health and safety standards for programs serving children receiving CCDF assistance are defined and established on the required topics (98.16(l)). Note – This question is different from the health and safety training requirements, which are addressed in question 5.2.3.

1. Prevention and control of infectious diseases (including immunization)

   - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt programs. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
   - Describe any variations based on the age of the children in care. _____
   - Describe if relatives are exempt from this requirement. _____

2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

   - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt providers. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
   - Describe any variations based on the age of the children in care. _____
   - Describe if relatives are exempt from this requirement. _____

3. Administration of medication, consistent with standards for parental consent

   - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt providers. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
   - Describe any variations based on the age of the children in care. _____
   - Describe if relatives are exempt from this requirement. _____

4. Prevention of and response to emergencies due to food and allergic reactions

   - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt providers. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____

- Describe any variations based on the age of the children in care. _____
- Describe if relatives are exempt from this requirement. _____

5. Building and physical premises safety, including the identification of and protection from hazards that can cause bodily injury, such as electrical hazards, bodies of water, and vehicular traffic

   - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt providers. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
   - Describe any variations based on the age of the children in care. _____
   - Describe if relatives are exempt from this requirement. _____

6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

   - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt providers. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
   - Describe any variations based on the age of the children in care. _____
   - Describe if relatives are exempt from this requirement. _____

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a)(1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1)). Emergency preparedness and response planning (at the child care provider level) must also include procedures for evacuation; relocation; shelter-in-place and lockdown; staff and volunteer training and practice drills; communications and reunification with families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions.

   - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt providers. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
   - Describe any variations based on the age of the children in care. _____
   - Describe if relatives are exempt from this requirement. _____

8. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants

- Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
- List all citations for these requirements, including those for licensed and license-exempt providers. _____
- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
- Describe any variations based on the age of the children in care. _____
- Describe if relatives are exempt from this requirement. _____

9. Precautions in transporting children (if applicable)

    - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
    - List all citations for these requirements, including those for licensed and license-exempt providers. _____
    - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
    - Describe any variations based on the age of the children in care. _____
    - Describe if relatives are exempt from this requirement. _____

10. Pediatric first aid and cardiopulmonary resuscitation (CPR) certification

    - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
    - List all citations for these requirements, including those for licensed and license-exempt providers. _____
    - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
    - Describe any variations based on the age of the children in care. _____
    - Describe if relatives are exempt from this requirement. _____

11. Recognition and reporting of child abuse and neglect

    - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
    - List all citations for these requirements, including those for licensed and license-exempt providers. _____
    - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
    - Describe any variations based on the age of the children in care. _____
    - Describe if relatives are exempt from this requirement. _____

b) Does the Lead Agency include any of the following optional standards?

☐ No, if no, skip to 5.2.3.

☐ Yes, if yes provide the information related to the optional standards addressed.

1. Nutrition

    - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____

- List all citations for these requirements, including those for licensed and license-exempt providers. _____
- Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
- Describe any variations based on the ages of the children in care. _____
- Describe if relatives are exempt from this requirement. _____

2. Access to physical activity

   - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt providers. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
   - Describe any variations based on the ages of the children in care. _____
   - Describe if relatives are exempt from this requirement. _____

3. Caring for children with special needs

   - Provide a brief summary of how this standard is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt providers. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
   - Describe any variations based on the ages of the children in care. _____
   - Describe if relatives are exempt from this requirement. _____

4. Any other areas determined necessary to promote child development or to protect children's health and safety (98.44(b)(1)(iii)). Describe: _____

   - Provide a brief summary of how the standard(s) is defined (i.e., what is the standard, content covered, practices required, etc.) _____
   - List all citations for these requirements, including those for licensed and license-exempt providers. _____
   - Describe any variations by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt). _____
   - Describe any variations based on the ages of the children in care. _____
   - Describe if relatives are exempt from this requirement. _____

5.2.3 Health and safety training for CCDF providers on required topics.

Lead Agencies are required to have minimum pre-service or orientation training requirements (to be completed within 3 months), as appropriate to the provider setting and the age of children served, that address the health and safety topics described in 5.2.2, and child development. Lead Agencies must also have ongoing training requirements on the health and safety topics for caregivers, teachers, and directors of children receiving CCDF funds (658E(c)(2)(I)(i); 98.44(b)(1)(iii)). The state/territory must describe its requirements for pre-

service or orientation training and ongoing training. These trainings should be part of a broader systematic approach and progression of professional development (as described in section 6) within a state/territory. Lead Agencies have flexibility in determining the number of training hours to require, but they may consult with *Caring for our Children Basics* for best practices and the recommended time needed to address these training requirements.

Pre-Service or Orientation Training Requirements

a) Provide the minimum number of pre-service or orientation training hours on health and safety topics for caregivers, teachers, and directors required for the following:

   1. Licensed child care centers: _____
   2. Licensed FCC homes: _____
   3. In-home care: _____
   4. Variations for exempt provider settings: _____

b) Provide the length of time that providers have to complete trainings subsequent to being hired (must be 3 months or fewer). _____

c) Explain any differences in pre-service or orientation training requirements based on the ages of the children served. _____

d) Describe how the training is offered, including any variations in delivery (e.g. across standards, in rural areas, etc.) Note: There is no federal requirement on how a training must be delivered. _____

e) Identify below the pre-service or orientation training requirements for each topic (98.41(a)(1)(i through xi)).

   1. Prevention and control of infectious diseases (including immunizations)

      - Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
      - Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
        ☐ Yes
        ☐ No
      - Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
        ☐ Yes
        ☐ No
      - Describe if relatives are exempt from this requirement. _____

   2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

      - Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____

- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
  - ☐ Yes
  - ☐ No
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
  - ☐ Yes
  - ☐ No
- Describe if relatives are exempt from this requirement. _____

3. Administration of medication, consistent with standards for parental consent

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
  - ☐ Yes
  - ☐ No
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
  - ☐ Yes
  - ☐ No
- Describe if relatives are exempt from this requirement. _____

4. Prevention and response to emergencies due to food and allergic reactions

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
  - ☐ Yes
  - ☐ No
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
  - ☐ Yes
  - ☐ No
- Describe if relatives are exempt from this requirement. _____

5. Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic

   - Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
   - Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
     - ☐ Yes
     - ☐ No
   - Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
     - ☐ Yes
     - ☐ No
   - Describe if relatives are exempt from this requirement. _____

6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

   - Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
   - Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
     - ☐ Yes
     - ☐ No
   - Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
     - ☐ Yes
     - ☐ No
   - Describe if relatives are exempt from this requirement. _____

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event

   - Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
   - Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
     - ☐ Yes
     - ☐ No
   - Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

☐ Yes

☐ No

- Describe if relatives are exempt from this requirement. _____

8. Handling and storage of hazardous materials and the appropriate disposal of bio contaminants

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

  ☐ Yes

  ☐ No
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

  ☐ Yes

  ☐ No
- Describe if relatives are exempt from this requirement. _____

9. Appropriate precautions in transporting children (if applicable)

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

  ☐ Yes

  ☐ No
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?

  ☐ Yes

  ☐ No
- Describe if relatives are exempt from this requirement. _____

10. Pediatric first aid and CPR certification

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?

  ☐ Yes

☐ No

- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
  ☐ Yes
  ☐ No
- Describe if relatives are exempt from this requirement. _____

11. Recognition and reporting of child abuse and neglect

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
  ☐ Yes
  ☐ No
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
  ☐ Yes
  ☐ No
- Describe if relatives are exempt from this requirement. _____

12. Child development (98.44(b)(1)(iii))

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
  ☐ Yes
  ☐ No
- Does the state/territory require that this training topic be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
  ☐ Yes
  ☐ No
- Describe if relatives are exempt from this requirement. _____

13. Describe other training requirements, such as nutrition, physical activities, caring for children with special needs, etc. _____

- Provide the citation(s) for other training requirements, including citations for both licensed and license-exempt providers. _____

- Does the state/territory require that this training topic(s) be completed before caregivers, teachers, and directors in licensed CCDF programs are allowed to care for children unsupervised?
  ☐ Yes
  ☐ No
- Does the state/territory require that this training topic(s) be completed before caregivers, teachers, and directors in license-exempt CCDF programs are allowed to care for children unsupervised?
  ☐ Yes
  ☐ No
- Describe if relatives are exempt from this requirement. _____

Ongoing Training Requirements

5.2.4 Provide the minimum number of annual training hours on health and safety topics for caregivers, teachers, and directors required for the following.

a) Licensed child care centers: _____

b) Licensed FCC homes: _____

c) In-home care: _____

d) Variations for exempt provider settings: _____

5.2.5 Describe the ongoing health and safety training for CCDF providers by category of care (i.e., center, FCC, in-home) and licensing status (i.e., licensed, license-exempt).

1. Prevention and control of infectious diseases (including immunizations)

   - Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
   - How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?
     ☐ Annually.
     ☐ Other. Describe _____
   - How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?
     ☐ Annually.
     ☐ Other. Describe _____

2. Prevention of sudden infant death syndrome and the use of safe-sleep practices

   - Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
   - How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

☐ Annually.

☐ Other. Describe _____

- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?

  ☐ Annually.

  ☐ Other. Describe _____

3. Administration of medication, consistent with standards for parental consent

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

  ☐ Annually.

  ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?

  ☐ Annually.

  ☐ Other. Describe _____

4. Prevention and response to emergencies due to food and allergic reactions

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

  ☐ Annually.

  ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?

  ☐ Annually.

  ☐ Other. Describe _____

5. Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

  ☐ Annually.

  ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?

☐ Annually.

☐ Other. Describe _____

6. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?
  ☐ Annually.
  ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?
  ☐ Annually.
  ☐ Other. Describe _____

7. Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?
  ☐ Annually.
  ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?
  ☐ Annually.
  ☐ Other. Describe _____

8. Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?
  ☐ Annually.
  ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?
  ☐ Annually.
  ☐ Other. Describe _____

9. Appropriate precautions in transporting children (if applicable)

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?
  - ☐ Annually.
  - ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?
  - ☐ Annually.
  - ☐ Other. Describe _____

10. Pediatric first aid and CPR certification

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?
  - ☐ Annually.
  - ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?
  - ☐ Annually.
  - ☐ Other. Describe _____

11. Recognition and reporting of child abuse and neglect

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?
  - ☐ Annually.
  - ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?
  - ☐ Annually.
  - ☐ Other. Describe _____

12. Child development (98.44(b)(1)(iii))

- Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

☐ Annually.

☐ Other. Describe _____

- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?

  ☐ Annually.

  ☐ Other. Describe _____

13. Describe other requirements, such as nutrition, physical activities, caring for children with special needs, etc. _____

- Provide the citation(s) for other training requirements, including citations for both licensed and license-exempt providers. _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in licensed CCDF programs?

  ☐ Annually.

  ☐ Other. Describe _____
- How often does the state/territory require that this training topic be completed by caregivers, teachers, and directors in license-exempt CCDF programs?

  ☐ Annually.

  ☐ Other. Describe _____

5.3 Monitoring and Enforcement Policies and Practices for CCDF Providers

5.3.1 Enforcement of licensing and health and safety requirements

Lead agencies must certify that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with all applicable State and local health and safety requirements, including those described in 98.41 (98.42(a)). This may include, but is not limited to, any systems used to ensure that providers complete health and safety trainings, any documentation required to be maintained by child care providers or any other monitoring procedures to ensure compliance. Note: Inspection requirements are described starting in 5.3.2.

To certify, describe the procedures to ensure that CCDF providers comply with all applicable State and local health and safety requirements. _____

5.3.2 Inspections for licensed CCDF providers.

Lead agencies must require licensing inspectors to perform inspections—with no fewer than one pre-licensure inspection for compliance with health, safety, and fire standards—of each child care provider and facility in the state/territory. Licensing inspectors are required to perform no fewer than one annual, unannounced inspection of each licensed CCDF provider for compliance with all child care licensing standards; it shall include an inspection for compliance with health and safety (including, but not limited to, those requirements described in 98.41) and fire standards; inspectors may inspect for compliance with all three standards—health, safety, and fire—at the same time (658E(c)(2)(K)(i)(II); 98.16 (n); 98.42(b)(2)(i)).

Certify by responding to the questions below to describe your state/territory's monitoring and enforcement procedures to ensure that licensed child care providers comply with licensing standards, including compliance with health and safety (including, but not limited to, those requirements described in 98.41) and fire standards.

a) Licensed CCDF center-based child care

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed child care center providers for compliance with health, safety, and fire standards. _____
2. Describe your state/territory's requirements for annual, unannounced inspections of licensed CCDF child care center providers. _____
3. Identify the frequency of unannounced inspections:
   - ☐ Once a year
   - ☐ More than once a year. Describe _____
4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that child care center providers comply with the applicable licensing standards, including health, safety, and fire standards. _____
5. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF center providers _____

b) Licensed CCDF family child care home

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed family child care providers for compliance with health, safety, and fire standards. _____
2. Describe your state/territory's requirements for at least annual, unannounced inspections of licensed CCDF family child care providers. _____
3. Identify the frequency of unannounced inspections:
   - ☐ Once a year
   - ☐ More than once a year. Describe _____
4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that CCDF family child care providers comply with the applicable licensing standards, including health, safety, and fire standards. _____
5. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF family child care providers _____

c) Licensed in-home CCDF child care

☐ N/A. In-home CCDF child care (care in the child's own home) is not licensed in the state/territory. Skip to 5.3.2 (d).

1. Describe your state/territory's requirements for *pre-licensure inspections* of licensed in-home child care providers for compliance with health, safety, and fire standards. _____
2. Describe your state/territory's requirements for at least annual, unannounced inspections of licensed CCDF in-home child care providers. _____
3. Identify the frequency of unannounced inspections:
   - ☐ Once a year

☐ More than once a year. Describe _____

4. Describe the monitoring procedures (including differential monitoring, if applicable) and how the inspections ensure that in-home CCDF child care providers comply with the applicable licensing standards, including health, safety, and fire standards. _____
5. List the citation(s) for your state/territory's policies regarding inspections for licensed in-home CCDF providers _____

d) List the entity(ies) in your state/territory that is responsible for conducting pre-licensure inspections and unannounced inspections of licensed CCDF providers. _____

5.3.3 Inspections for license-exempt CCDF providers

The Lead Agency must have policies and practices that require licensing inspectors (or qualified monitors designated by the Lead Agency) to perform an annual monitoring visit of each license-exempt CCDF provider for compliance with health, safety, and fire standards (658E(c)(2)(K)(i)(IV); 98.42(b)(2)(ii)). The state/territory may determine if exempt relative providers (as described in section (658P(6)(B)) do not need to meet this requirement. At a minimum, the health and safety requirements to be inspected must address the standards listed in 5.1.4 (98.41(a)). To certify, describe the policies and practices for the annual monitoring of:

a) License-exempt center-based CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is used. _____

   Provide the citation(s) for this policy or procedure. _____

b) License-exempt family child care CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is used. _____

   Provide the citation(s) for this policy or procedure. _____

c) License-exempt in-home CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, if relative care is exempt from monitoring, and if differential monitoring is used. _____

   Provide the citation(s) for this policy or procedure. _____

d) Lead Agencies have the option to develop alternate monitoring requirements for care provided in the child's home (98.42(b)(2)(iv)(B)). Does your state use alternate monitoring procedures for monitoring in-home care?

   ☐ No

   ☐ Yes. If yes, describe: _____

e) List the entity(ies) in your state/territory that are responsible for conducting inspections of license-exempt CCDF providers:

5.3.4 Licensing inspectors.

Lead Agencies will have policies and practices that ensure that individuals who are hired as licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified to inspect child care providers and facilities and have received health and safety training

appropriate to the provider setting and age of the children served. Training shall include, but is not limited to, those requirements described in 98.41(a)(1) and all aspects of the State's licensure requirements (658E(c)(2)(K)(i)(I); 98.42(b)(1-2)).

a) To certify, describe how the Lead Agency ensures that licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified to inspect child care facilities and providers and that those inspectors have received training on health and safety requirements that are appropriate to the age of the children in care and the type of provider setting (98.42(b)(1-2)). _____

b) Provide the citation(s) for this policy or procedure. _____

5.3.5 The states and territories shall have policies and practices that require the ratio of licensing inspectors to child care providers and facilities in the state/territory to be maintained at a level sufficient to enable the state/territory to conduct effective inspections of child care providers and facilities on a timely basis in accordance with federal, state, and local laws (658E(c)(2)(K)(i)(III); 98.42(b)(3)).

a) To certify, describe the state/territory policies and practices regarding the ratio of licensing inspectors to child care providers (i.e. number of inspectors per number of child care providers) and facilities in the state/territory and include how the ratio is sufficient to conduct effective inspections on a timely basis. _____

b) Provide the policy citation and state/territory ratio of licensing inspectors. _____

5.3.6 States and territories have the option to exempt relatives (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles (98.42(c)) from inspection requirements. *Note:* This exception only applies if the individual cares *only* for relative children. Does the state/territory exempt relatives from the inspection requirements listed in 5.3.3?

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

☐ Yes, relatives are exempt from some inspection requirements. If the state/territory exempts relatives from the inspection requirements, describe which inspection requirements do not apply to relative providers (including which relatives may be exempt) and how the State ensures the health and safety of children in relative care. _____

☐ No, relatives are not exempt from inspection requirements.

5.4 Criminal Background Checks

The CCDBG Act requires states and territories to have in effect requirements, policies and procedures to conduct criminal background checks for all child care staff members (including prospective staff members) of all child care programs that are 1) licensed, regulated, or registered under state/territory law; or, 2) all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers) (98.43(a)(1)(i)). Background check requirements apply to any staff member who is employed by a child care provider for compensation, including

contract employees and self-employed individuals; whose activities involve the care or supervision of children; or who has unsupervised access to children (98.43(2)). For FCC homes, this requirement includes the caregiver and any other adults residing in the family child care home who are age 18 or older (98.43(2)(ii)(C)). This requirement does not apply to individuals who are related to all children for whom child care services are provided (98.43(2)(B)(ii)).

A criminal background check must include 8 specific components (98.43(2)(b)), which encompass 3 in-state checks, 2 national checks, and 3 inter-state checks:

Components	In-State	National	Inter-State
1. Criminal registry or repository using fingerprints in the current state of residency	x		
2. Sex offender registry or repository check in the current state of residency	x		
3. Child abuse and neglect registry and database check in the current state of residency	x		
4. FBI fingerprint check		x	
5. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR)		x	
6. Criminal registry or repository in any other state where the individual has resided in the past 5 years, with the use of fingerprints being optional			x
7. Sex offender registry or repository in any other state where the individual has resided in the past 5 years			x
8. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years			x

In recognition of the significant challenges to implementing the Child Care and Development Fund (CCDF) background check requirements, all States applied for and received extensions through September 30, 2018. The Office of Child Care (OCC)/Administration for Children and Families (ACF)/U. S. Department of Health and Human Services (HHS) is committed to granting additional waivers of up to 2 years, in one year increments (i.e., potentially through September 30, 2020) if significant milestones for background check requirements are met.

In order to receive these time-limited waivers, states and territories will demonstrate that the milestones are met by responding to questions 5.4.1 through 5.4.4 and then apply for the time-limited waiver by completing the questions in Appendix A: Background Check Waiver Request Form. By September 30, 2018, states and territories must have requirements, policies and procedures for four specific background check components, and must be conducting those checks for all new (prospective) child care staff, in accordance with 98.43 and 98.16(o):

- The national FBI fingerprint check; and,
- The three in-state background check provisions for the current state of residency:
  - state criminal registry or repository using fingerprints;

- state sex offender registry or repository check; and
- state-based child abuse and neglect registry and database.

All four components are required in order for the milestone to be considered met.

Components	New (Prospective) Staff	Existing Staff
1. Criminal registry or repository using fingerprints in the current state of residency	Milestone/prerequisite for waiver	Possible time limited waiver for current (existing) staff
2. Sex offender registry or repository check in the current state of residency	Milestone/prerequisite for waiver	Possible time limited waiver for current (existing) staff
3. Child abuse and neglect registry and database check in the current state of residency	Milestone/prerequisite for waiver	Possible time limited waiver for current (existing) staff
4. FBI fingerprint check	Milestone/prerequisite for waiver	Possible time limited waiver for current (existing) staff
5. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR)	Possible time limited waiver for: • establishing requirements and procedures; and/or • conducting checks on all new (prospective) staff; and/or • conducting checks on current (existing) staff	
6. Criminal registry or repository in any other state where the individual has resided in the past 5 years, with the use of fingerprints being optional	Possible time limited waiver for: • establishing requirements and procedures; and/or • conducting checks on all new (prospective) staff; and/or • conducting checks on current (existing) staff	
7. Sex offender registry or repository in any other state where the individual has resided in the past 5 years	Possible time limited waiver for: • establishing requirements and procedures; and/or • conducting checks on all new (prospective) staff; and/or • Conducting checks on current (existing) staff	
8. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years	Possible time limited waiver for: • establishing requirements and procedures; and/or • conducting checks on all new (prospective) staff; and/or • conducting checks on current (existing) staff	

Use the questions below to describe the status of the requirements, policies, and procedures for background check requirements. These descriptions must provide sufficient information to demonstrate how the milestone prerequisites are being met and the status of the other components that are not part of the milestone. Lead Agencies have the opportunity to submit a waiver request in Appendix A: Background Check Waiver Request Form for components not included in the milestones. Approval of these waiver requests will be subject to verification that the milestone components have been met as part of the CCDF Plan review and approval process.

In-state Background Check Requirements

5.4.1 In-State Criminal Registry or Repository Checks with Fingerprints Requirements (98.43(b)(3)(i)).

Note: A search of a general public facing judicial website does not satisfy this requirement. This check is required in addition to the national FBI criminal history check (5.4.4 below) to mitigate any gaps that may exist between the two sources.

a) Milestone #1 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies and procedures for the search of the in-state criminal registry or repository, with the use of fingerprints required in the state where the staff member resides.

   i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations _____

   ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations _____

b) Has the search of the in-state criminal registry or repository, with the use of fingerprints, been conducted for all current (existing) child care staff?

   ☐ Yes. Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations. _____

   ☐ No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state criminal registry or repository, using fingerprints for current (existing) child care staff including:

   - Efforts to date to complete the requirement for all existing child care staff in licensed, regulated or registered programs
   - Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF services (e.g. license-exempt CCDF eligible providers).
   - Key challenges to fully implementing this requirements
   - Strategies used to address these challenges

   Describe: _____

5.4.2 In-State Sex Offender Registry Requirements (98.43(b)(3)(B)(ii)).

Note: This check must be completed in addition to the national NCIC sex offender registry check (5.4.5 below) to mitigate any gaps that may exist between the two sources. Use of fingerprints is optional to conduct this check.

a) Milestone #2 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies, and procedures for the search of the in-state sex offender registry.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations. _____

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations._____

b) Has the search of the in-state sex offender registry been conducted for all current (existing) child care staff?

☐ Yes. Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations. _____

☐ No. (Waiver request allowed. See Appendix A). Describe the status of conducting the search of the state sex offender registry for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirement
- Strategies used to address these challenges

Describe: _____

5.4.3 In-State Child Abuse and Neglect Registry Requirements (98.43(b)(3)(B)(iii)).

Note: This is a name-based search.

a) Milestone #3 Prerequisite for New (Prospective) Child Care Staff: Describe the requirements, policies, and procedures for the search of the in-state child abuse and neglect registry.

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations._____

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations. _____

b) Has the search of the in-state child abuse and neglect registry been conducted for all current (existing) child care staff?

☐ Yes. Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations. _____

☐ No. (Waiver request allowed. See Appendix A.) Describe the status of conducting the search of the state child abuse and neglect registry for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirement
- Strategies used to address these challenges

Describe: _____

National Background Check Requirements

5.4.4 National FBI Criminal Fingerprint Search Requirements (98.43(b)(1)).

Note: The in-state (5.4.1 above) and the inter-state (5.4.6 below) criminal history check must be completed in addition to the FBI fingerprint check because there could be state crimes that do not appear in the national repository. Also note that an FBI fingerprint check satisfies the requirement to perform an interstate check of another state's criminal history records repository if the responding state (where the child care staff member has resided within the past five years) participates in the National Fingerprint File program (CCDF-ACF-PIQ-2017-01).

a) Milestone #4 Prerequisite for New (Prospective) Child Care Staff. Describe the requirements, policies, and procedures for the search of the national FBI fingerprint check.

   i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations. _____

   ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations. _____

b) For all current (existing) child care staff, has the FBI criminal fingerprint check been conducted?

   ☐ Yes. Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations. _____

   ☐ No (Waiver request allowed. See Appendix A.) Describe the status of conducting the FBI fingerprint check for current (existing) child care staff including:

   - Efforts to date to complete the requirement for all existing child care staff in licensed, regulated, or registered programs
   - Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF
   - Key challenges to fully implementing this requirement
   - Strategies used to address these challenges

Describe: _____

5.4.5 National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) Search Requirements (98.43(b)(2)).

Note: This is a name-based search. Searching general public facing sex offender registries does not satisfy this requirement. This national check must be required in addition to the in-state (5.4.2 above) or inter-state (5.4.7 below) sex offender registry check requirements. This check must be performed by law enforcement.

a) Has the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check been put in place for all new (prospective) child care staff?

☐ Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations. _____

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). Describe and provide citations.

☐ No (Waiver request allowed. See Appendix A). Describe the status of conducting the the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) for new (prospective) child care staff including:

- Efforts to date to complete the requirement for all new child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all new child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirement
- Strategies used to address these challenges

Describe:

b) Has the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check been put in place for all current (existing) child care staff?

☐ Yes. Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations. _____

☐ No (Waiver request allowed. See Appendix A.) Describe the status of conducting the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) check for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers).
- Key challenges to fully implementing this requirement

- Strategies used to address these challenges

Describe: _____

Inter-state Background Check Requirements

Checking a potential employee's history in any state other than that in which the provider's services are provided qualifies as an inter-state check, per the definition of required criminal background checks in 98.43(b)(3). For example, an inter-state check would include situations when child care staff members work in one state and live in another state. The statute and regulations require background checks in the state where the staff member resides and each state where the staff member resided during the previous 5 years. Background checks in the state where the staff member is employed may be advisable, but are not strictly required.

5.4.6 Interstate Criminal Registry or Repository Check Requirement (including in any other state where the individual has resided in the past 5 years). (98.43 (b)(3)(i)).

Note: It is optional to use a fingerprint to conduct this check. Searching a general public facing judicial website does not satisfy this requirement. This check must be completed in addition to the national FBI history check (5.4.4 above) to mitigate any gaps that may exist between the two sources (unless the responding state participates in the National Fingerprint File program).

a) Has the interstate criminal registry or repository check been put in place for all new (prospective) child care staff?

☐ Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). _____

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). _____

☐ No. (Waiver request allowed. See Appendix A.). Describe the status of conducting the the interstate criminal registry or repository check for new (prospective) child care staff including:

- Efforts to date to complete the requirement for all new child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all new child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirement
- Strategies used to address these challenges

Describe: _____

b) Has the interstate criminal registry or repository check been put in place for all current (existing) child care staff?

☐ Yes. Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations. _____

☐ No. (Waiver request allowed. See Appendix A.) Describe the status of conducting the interstate criminal registry or repository check for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirement
- Strategies used to address these challenges

Describe: _____

5.4.7 Interstate Sex Offender Registry or Repository Check Requirements (including in any state where the individual has resided in the past 5 years). (98.43 (b)(3)(ii)).

Note: It is optional to use a fingerprint to conduct this check. This check must be completed in addition to the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) (5.4.5 above) to mitigate any gaps that may exist between the two sources.

a) Has the interstate sex offender registry or repository check been put in place for all new (prospective) child care staff?

☐ Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). _____

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). _____

☐ No. (Waiver request allowed. See Appendix A.) Describe the status of conducting the interstate sex offender registry or repository check for new (prospective) child care staff including:

- Efforts to date to complete the requirement for all new child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all new child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirement
- Strategies used to address these challenges

Describe: _____

b) Has the interstate sex offender registry or repository check been put in place for all current (existing) child care staff?

☐ Yes. Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations. _____

☐ No. (Waiver request allowed. See Appendix A.) Describe the status of conducting the interstate sex offender registry or repository check for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirement
- Strategies used to address these challenges

Describe: _____

5.4.8 Interstate Child Abuse and Neglect Check Registry Requirements (98.43 (b)(3)(iii)).

Note: This is a name-based search.

a) Has the interstate child abuse and neglect check been put in place for all new (prospective) child care staff?

☐ Yes. If yes,

i. Describe how these requirements, policies and procedures apply to all licensed, regulated, or registered child care providers, in accordance with 98.43(a)(1)(i) and 98.16(o). _____

ii. Describe how these requirements, policies and procedures apply to all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i) and 98.16(o). _____

☐ No. (Waiver request allowed. See Appendix A.) Describe the status of conducting the interstate child abuse and neglect check for new (prospective) child care staff including:

- Efforts to date to complete the requirement for all new child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all new child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirement
- Strategies used to address these challenges

Describe: _____

b) Has the interstate child abuse and neglect check been put in place for all current (existing) child care staff?

☐ Yes. Describe, if applicable, any differences in the process for existing staff than what was described for new staff and provide citations. _____

☐ No. (Waiver request allowed. See Appendix A.) Describe the status of conducting the interstate child abuse and neglect check for current (existing) child care staff including:

- Efforts to date to complete the requirement for all existing child care staff in licensed, regulated, or registered programs
- Efforts to date to complete the requirement for all existing child care staff in other programs eligible to receive CCDF (e.g., license-exempt CCDF eligible providers)
- Key challenges to fully implementing this requirement
- Strategies used to address these challenges

Describe: _____

Provisional Employment

The CCDF Final Rule states a child care provider must submit a request to the appropriate state/territory agency for a criminal background check for each child care staff member, including prospective staff members, prior to the date an individual becomes a child care staff member and at least once every 5 years thereafter (98.43(d)(1) and (2). A prospective child care staff member may not begin work until one of the following results have been returned as satisfactory: either the FBI fingerprint check or the search of the state/territory criminal registry or repository using fingerprints in the state/territory where the staff member resides. The child care staff member must be supervised at all times pending completion of all the background check components (98.43(d)(4)).

Note: In recognition of the concerns and feedback OCC received related to the provisional hire provision of the CCDF Final Rule, OCC will allow states and territories to request time-limited waiver extensions for the provisional hire provision. State/territories may submit a waiver request to allow additional time to meet the requirements related to provisional hires (see Appendix A). A state/territory may receive a waiver from this requirement only when:

1. the state requires the provider to submit the background check requests before the staff person begins working; and
2. the staff member, pending the results of the elements of the background check, is supervised at all times by an individual who has completed the background check.

5.4.9 Describe the state/territory requirements related to prospective child care staff members using the checkboxes below (Waiver request allowed. See Appendix A). Check all that apply.

☐ The state/territory allows prospective staff members to begin work on a provisional basis (if supervised at all times) after completing and receiving satisfactory results on either the FBI fingerprint check or a fingerprint check of the state/territory criminal registry or repository in the state where the child care staff member resides. Describe and include a citation: _____

☐ The state/territory allows prospective staff members to begin work on a provisional basis (if supervised at all times) after the request has been submitted, but <u>before</u> receiving satisfactory results on either the FBI fingerprint check or a fingerprint

check of the state/territory criminal registry or repository in the state where the child care staff member resides. Note: A waiver request is allowed for this provision (see Appendix A). Describe and include a citation: _____

☐ Other. Describe _____

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

Describe the requirements, policies, and procedures in place to respond as expeditiously as possible to other states', territories', and tribes' requests for background check results to accommodate the 45-day timeframe, including any agencies/entities responsible for responding to requests from other states (98.43(a)(1)(iii)). _____

5.4.11 Child care staff members cannot be employed by a child care provider receiving CCDF subsidy funds if they refuse a background check, make materially false statements in connection with the background check, or are registered or required to be registered on the state or National Sex Offender Registry. Potential staff members also cannot be employed by a provider receiving CCDF funds if they have been convicted of: a felony consisting of murder, child abuse or neglect, crimes against children, spousal abuse, crimes involving rape or sexual assault, kidnapping, arson, physical assault or battery, or—subject to an individual review (at the state/territory's option)—a drug-related offense committed during the preceding 5 years; a violent misdemeanor committed as an adult against a child, including the following crimes—child abuse, child endangerment, or sexual assault; or a misdemeanor involving child pornography (98.43(c)(1)).

Note: The Lead Agency may not publicly release the results of individual background checks. It may release aggregated data by crime as long as the data do not include personally identifiable information (98.43(e)(2)(iii)).

Does the state/territory disqualify child care staff members based on their conviction for other crimes not specifically listed in 98.43(c)(i)?

☐ No

☐ Yes. Describe other disqualifying crimes and provide citation: _____

5.4.12 The state/territory has a process for a child care staff member to appeal the the results of his or her background check to challenge the accuracy or completeness of the criminal background report, as detailed in 98.43(e)(3). Describe how the Lead Agency ensures the privacy of background checks and provides opportunities for applicants to appeal the results of background checks. In addition, describe whether the state/territory has a review process for individuals disqualified due to a felony drug offense to determine if that individual is still eligible for employment (98.43(e)(2–4)). _____

5.4.13 The state/territory may not charge fees that exceed the actual costs of processing applications and administering a criminal background check (98.43(f)). Describe how the state/territory ensures that fees charged for completing the background checks do not exceed the actual cost of processing and administration, regardless of whether they are conducted by the state/territory or a third-party vendor or contractor. Lead Agencies can report that no fees are charged if applicable (98.43(f)). _____

5.4.14 Federal requirements do not address background check requirements for relative providers who receive CCDF; therefore, states have the flexibility to decide which background check requirements relative providers must meet, as defined by CCDF in 98.2 under eligible child care provider. Note: This exception only applies if the individual cares only for relative children. Does the state/territory exempt relatives from background checks?

- ☐ No, relatives are not exempt from background check requirements.
- ☐ Yes, relatives are exempt from all background check requirements.
- ☐ Yes, relatives are exempt from some background check requirements. If the state/territory exempts relatives from some background check requirements, describe which background check requirements do not apply to relative providers. _____

6 Recruit and Retain a Qualified and Effective Child Care Workforce

This section covers the state or territory framework for training, professional development, and post-secondary education (98.44(a)); provides a description of strategies used to strengthen the business practices of child care providers (98.16(z)); and addresses early learning and developmental guidelines.

States and territories are required to describe their framework for training, professional development, and post-secondary education for caregivers, teachers, and directors, including those working in school-age care (98.44(a)). This framework is part of a broader systematic approach building on health and safety training (as described in section 5) within a state/territory. States and territories must incorporate their knowledge and application of health and safety standards, early learning guidelines, responses to challenging behavior, and the engagement of families. States and territories are required to establish a progression of professional development opportunities to improve the knowledge and skills of CCDF providers (658E(c)(2)(G)). To the extent practicable, professional development should be appropriate to work with a population of children of different ages, English-language learners, children with disabilities, and Native Americans (98.44(b)(2)(iv)). Training and professional development is one of the options that states and territories have for investing their CCDF quality funds (658G(b)(1)).

6.1 Professional Development Framework

6.1.1 Each state or territory must describe their professional development framework for training, professional development, and post-secondary education for caregivers, teachers and directors, which is developed in consultation with the State Advisory Council on Early Childhood Education and Care or similar coordinating body. The framework should include these components: (1) professional standards and competencies, (2) career pathways, (3) advisory structures, (4) articulation, (5) workforce information, and (6) financing (98.44(a)(3)). Flexibility is provided on

the strategies, breadth, and depth with which states and territories will develop and implement their framework.

a) Describe how the state/territory's framework for training and professional development addresses the following required elements:

- State/territory professional standards and competencies. Describe: _____
- Career pathways. Describe: _____
- Advisory structure. Describe: _____
- Articulation. Describe: _____
- Workforce information. Describe: _____
- Financing. Describe: _____

b) The following are optional elements, or elements that should be implemented to the extent practicable, in the training and professional development framework.

☐ Continuing education unit trainings and credit-bearing professional development to the extent practicable. Describe: _____

☐ Engagement of training and professional development providers, including higher education, in aligning training and educational opportunities with the state/territory's framework. Describe: _____

☐ Other. Describe: _____

6.1.2 Describe how the state/territory developed its professional development framework in consultation with the State Advisory Council on Early Childhood Education and Care (if applicable) or similar coordinating body if there is no SAC that addresses the professional development, training, and education of child care providers and staff. _____

6.1.3 Describe how the framework improves the quality, diversity, stability, and retention of caregivers, teachers, and directors (98.44(a)(7)). _____

6.2 Training and Professional Development Requirements

The Lead Agency must describe how its established health and safety requirements for pre-service or orientation training and ongoing professional development requirements—as described in Section 5 for caregivers, teachers, and directors in CCDF programs —align, to the extent practicable, with the state/territory professional development framework. These requirements must be designed to enable child care providers to promote the social, emotional, physical, and cognitive development of children and to improve the knowledge and skills of the child care workforce. Such requirements shall be applicable to child care providers caring for children receiving CCDF funds across the entire age span, from birth through age 12 (658E(c)(2)(G)). Ongoing training and professional development should be accessible and appropriate to the setting and age of the children served (98.44(b)(2)).

6.2.1 Describe how the state/territory incorporates the knowledge and application of its early learning and developmental guidelines (where applicable); its health and safety standards (as described in section 5); and social-emotional/behavioral and early childhood mental health

intervention models, which can include positive behavior intervention and support models (as described in section 2) in the training and professional development framework (98.44(b)). _____

6.2.2 Describe how the state/territory's training and professional development are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF funds (as applicable) (98.44(b)(2)(vi)). _____

6.2.3 States/territories are required to facilitate participation of child care providers with limited English proficiency and disabilities in the subsidy system (98.16 (dd)). Describe how the state/territory will recruit and facilitate the participation of providers:

a) with limited English proficiency. _____

b) who have disabilities. _____

6.2.4 Describe how the state/territory's training and professional development requirements are appropriate, to the extent practicable, for child care providers who care for children receiving child care subsidies, including children of different age groups (such as specialized credentials for providers who care for infants and/or school-age children); English-language learners; children with developmental delays and disabilities; and Native Americans, including Indians and Native Hawaiians (98.44(b)(2)(iii–iv)). _____

6.2.5 The Lead Agency must provide training and technical assistance to providers and appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (658E(c)(3)(B)(i)).

a) Describe the state/territory's training and TA efforts for providers in identifying and serving children and their families experiencing homelessness (relates to question 3.2.2). _____

b) Describe the state/territory's training and TA efforts for Lead Agency (or designated entity) staff in identifying and serving children and their families experiencing homelessness (connects to question 3.2.2). _____

6.2.6 States and territories are required to describe effective internal controls that are in place to ensure program integrity and accountability (98.68(a)). Describe how the state/territory ensures that all providers for children receiving CCDF funds are informed and trained regarding CCDF requirements and integrity (98.68(a)(3)). Check all that apply.

- ☐ Issue policy change notices
- ☐ Issue new policy manual
- ☐ Staff training
- ☐ Orientations
- ☐ Onsite training
- ☐ Online training
- ☐ Regular check-ins to monitor the implementation of CCDF policies. Describe the type of check-ins, including the frequency. _____
- ☐ Other. Describe:

6.2.7 Lead Agencies must develop and implement strategies to strengthen the business practices of child care providers to expand the supply and to improve the quality of child care services (98.16 (z)). Describe the state/territory's strategies to strengthen providers' business practices, which can include training and/or TA efforts.

a) Describe the strategies that the state/territory is developing and implementing for training and TA. _____

b) Check the topics addressed in the state/territory's strategies. Check all that apply.

- ☐ Fiscal management
- ☐ Budgeting
- ☐ Recordkeeping
- ☐ Hiring, developing, and retaining qualified staff
- ☐ Risk management
- ☐ Community relationships
- ☐ Marketing and public relations
- ☐ Parent-provider communications, including who delivers the training, education, and/or technical assistance
- ☐ Other. Describe: _____

6.3 Early Learning and Developmental Guidelines

6.3.1 States and territories are required to develop, maintain, or implement early learning and developmental guidelines that are appropriate for children in a forward progression from birth to kindergarten entry (i.e., birth-to-three, three-to-five, birth-to-five), describing what children should know and be able to do and covering the essential domains of early childhood development. These early learning and developmental guidelines are to be used statewide and territory-wide by child care providers and in the development and implementation of training and professional development (658E(c)(2)(T)). The required essential domains for these guidelines are cognition, including language arts and mathematics; social, emotional, and physical development; and approaches toward learning (98.15(a)(9)). At the option of the state/territory, early learning and developmental guidelines for out-of-school time may be developed. *Note:* States and territories may use the quality set-aside, discussed in section 7, to improve on the development or implementation of early learning and developmental guidelines.

a) Describe how the state/territory's early learning and developmental guidelines are research-based, developmentally appropriate, culturally and linguistically appropriate, and aligned with kindergarten entry. _____

b) Describe how the state/territory's early learning and developmental guidelines are appropriate for all children from birth to kindergarten entry. _____

c) Verify by checking the domains included in the state/territory's early learning and developmental guidelines. Responses for "other" are optional.

- ☐ Cognition, including language arts and mathematics
- ☐ Social development

- ☐ Emotional development
- ☐ Physical development
- ☐ Approaches toward learning
- ☐ Other. Describe:

d) Describe how the state/territory's early learning and developmental guidelines are implemented in consultation with the educational agency and the State Advisory Council or similar coordinating body. _____

e) Describe how the state/territory's early learning and developmental guidelines are updated and include the date first issued and/or the frequency of updates. _____

f) If applicable, discuss the state process for the adoption, implementation and continued improvement of state out-of-school time standards _____

g) Provide the Web link to the state/territory's early learning and developmental guidelines. _____

6.3.2 CCDF funds cannot be used to develop or implement an assessment for children that:

- Will be the primary or sole basis to determine a child care provider ineligible to participate in the CCDF,
- Will be used as the primary or sole basis to provide a reward or sanction for an individual provider,
- Will be used as the primary or sole method for assessing program effectiveness,
- Will be used to deny children eligibility to participate in the CCDF (658E(c)(2)(T)(ii)(I); 98.15(a)(2)).

Describe how the state/territory's early learning and developmental guidelines are used. _____

7 Support Continuous Quality Improvement

Lead Agencies are required to reserve and use a portion of their Child Care and Development Fund program expenditures for activities designed to improve the quality of child care services and to increase parental options for and access to high-quality child care (98.53). The quality activities should be aligned with a statewide or territory-wide assessment of the state's or territory's need to carry out such services and care.

States and territories are required to report on these quality improvement investments through CCDF in three ways:

1. In the Plan, states and territories will describe the types of activities supported by quality investments over the 3-year period (658G(b); 98.16(j)).
2. ACF will collect annual data on how much CCDF funding is spent on quality activities using the expenditure report (ACF-696). This report will be used to determine compliance with the required quality and infant and toddler spending requirements (658G(d)(1); 98.53(f)).
3. For each year of the Plan period, states and territories will submit a separate annual Quality Progress Report that will include a description of activities to be funded by quality expenditures and the measures used by the state/territory to evaluate its progress in

improving the quality of child care programs and services within the state/territory (658G(d); 98.53(f)).

States and territories must fund efforts in at least one of the following 10 activities:

- Supporting the training and professional development of the child care workforce
- Improving on the development or implementation of early learning and developmental guidelines
- Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services
- Improving the supply and quality of child care programs and services for infants and toddlers
- Establishing or expanding a statewide system of child care resource and referral services
- Supporting compliance with state/territory requirements for licensing, inspection, monitoring, training, and health and safety (as described in section 5)
- Evaluating the quality of child care programs in the state/territory, including evaluating how programs positively impact children
- Supporting providers in the voluntary pursuit of accreditation
- Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development
- Performing other activities to improve the quality of child care services, as long as outcome measures relating to improved provider preparedness, child safety, child well-being, or kindergarten entry are possible.

Throughout this Plan, states and territories will describe the types of quality improvement activities where CCDF investments are being made, including but not limited to, quality set-aside funds and will describe the measurable indicators of progress used to evaluate state/territory progress in improving the quality of child care services for each expenditure (98.53(f)). These activities can benefit infants and toddlers through school-age populations.

This section covers the quality activities needs assessment, quality improvement activities and indicators of progress for each of the activities undertaken in the state or territory.

7.1 Quality Activities Needs Assessment for Child Care Services

7.1.1 Lead Agencies must invest in quality activities based on an assessment of the state/territory's needs to carry out those activities. Lead Agencies have the flexibility to design an assessment of their quality activities that best meet their needs, including how often they do the assessment. Describe your state/territory assessment process, including the frequency of assessment (658G(a)(1); 98.53(a)). _____

7.1.2 Describe the findings of the assessment and if any overarching goals for quality improvement were identified. _____

7.2 Use of Quality Funds

7.2.1 Check the quality improvement activities in which the state/territory is investing.

☐ Supporting the training and professional development of the child care workforce
If checked, respond to section 7.3 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

☐ Developing, maintaining, or implementing early learning and developmental guidelines. If checked, respond to section 6.3 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

☐ Developing, implementing, or enhancing a tiered quality rating and improvement system. If checked, respond to 7.4 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

☐ Improving the supply and quality of child care services for infants and toddlers. If checked, respond to 7.5 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

☐ Establishing or expanding a statewide system of CCR&R services, as discussed in 1.7. If checked, respond to 7.6 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

☐ Facilitating compliance with state/territory requirements for inspection, monitoring, training, and health and safety standards (as described in section 5). If checked, respond to 7.7 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

☐ Evaluating and assessing the quality and effectiveness of child care services within the state/territory. If checked, respond to 7.8 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

☐ Supporting accreditation. If checked, respond to 7.9 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

☐ Supporting state/territory or local efforts to develop high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development. If checked, respond to 7.10 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

☐ Other activities determined by the state/territory to improve the quality of child care services and which measurement of outcomes related to improved provider preparedness, child safety, child well-being, or kindergarten entry is possible. If checked, respond to 7.11 and indicate which funds will be used for this activity. Check all that apply.

- ☐ CCDF funds
- ☐ Other funds. Describe: _____

7.3 Supporting Training and Professional Development of the Child Care Workforce with CCDF Quality Funds

Lead Agencies can invest in the training, professional development, and post-secondary education of the child care workforce as part of a progression of professional development activities, such as those included at 98.44 in addition to the following (98.53(a)(1)).

7.3.1 Describe how the state/territory funds the training and professional development of the child care workforce.

a) Check and describe which content is included in training and professional development activities and describe who or how an entity is funded to address this topic. Check all that apply.

- ☐ Promoting the social, emotional, physical, and cognitive development of children, including those efforts related to nutrition and physical activity, using scientifically based, developmentally appropriate, and age-appropriate strategies. Describe: _____
- ☐ Implementing behavior management strategies, including positive behavior interventions and support models that promote positive social-emotional development and early childhood mental health and that reduce challenging

behaviors, including a reduction in expulsions of preschool-age children from birth to age five for such behaviors. (See also section 2.5.) Describe: _____

- ☐ Engaging parents and families in culturally and linguistically appropriate ways to expand their knowledge, skills, and capacity to become meaningful partners in supporting their children's positive development. Describe: _____
- ☐ Implementing developmentally appropriate, culturally and linguistically responsive instruction, and evidence-based curricula and designing learning environments that are aligned with state/territory early learning and developmental standards. Describe: _____
- ☐ Providing onsite or accessible comprehensive services for children and developing community partnerships that promote families' access to services that support their children's learning and development. Describe: _____
- ☐ Using data to guide program evaluation to ensure continuous improvement. Describe: _____
- ☐ Caring for children of families in geographic areas with significant concentrations of poverty and unemployment. Describe: _____
- ☐ Caring for and supporting the development of children with disabilities and developmental delays. Describe: _____
- ☐ Supporting the positive development of school-age children. Describe: _____
- ☐ Other. Describe:

b) Check how the state/territory connects child care providers with available federal and state/territory financial aid or other resources to pursue post-secondary education relevant for the early childhood and school-age workforce. Check all that apply.

- ☐ Coaches, mentors, consultants, or other specialists available to support access to post-secondary training, including financial aid and academic counseling
- ☐ Statewide or territory-wide, coordinated, and easily accessible clearinghouse (i.e., an online calendar, a listing of opportunities) of relevant post-secondary education opportunities
- ☐ Financial awards, such as scholarships, grants, loans, or reimbursement for expenses, from the state/territory to complete post-secondary education
- ☐ Other. Describe:

7.3.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. _____

7.4 Quality Rating and Improvement System (QRIS)

Lead Agencies may respond in this section based on other systems of quality improvement, even if not called a QRIS, as long as the other quality improvement system contains the elements of a QRIS. QRIS refers to a systematic framework for evaluating, improving, and communicating the level of quality in early childhood programs and contains five key elements:

1. Program standards
2. Supports to programs to improve quality
3. Financial incentives and supports
4. Quality assurance and monitoring
5. Outreach and consumer education

7.4.1 Does your state/territory have a quality rating and improvement system or other system of quality improvement?

- ☐ No, but the state/territory is in the QRIS development phase. If no, skip to 7.5.1.
- ☐ No, the state/territory has no plans for QRIS development. If no, skip to 7.5.1.

- ☐ Yes, the state/territory has a QRIS operating statewide or territory-wide. Describe how the QRIS is administered (e.g., statewide or locally or through CCR&R entities) and any partners and provide a link, if available. _____
- ☐ Yes, the state/territory has a QRIS initiative operating as a pilot-test in a few localities or only a few levels but does not have a fully operating initiative on a statewide or territory-wide basis. Provide a link, if available.
- ☐ Yes, the state/territory has another system of quality improvement.

  If the response is yes to any of the above, describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. _____

7.4.2 QRIS participation.

a) Are providers required to participate in the QRIS?

- ☐ Participation is voluntary.
- ☐ Participation is mandatory for providers serving children receiving a subsidy. If checked, describe the relationship between QRIS participation and subsidy (e.g., minimum rating required, reimbursed at higher rates for achieving higher ratings, participation at any level). _____
- ☐ Participation is required for all providers.

b) Which types of settings or distinctive approaches to early childhood education and care participate in the state/territory's QRIS? Check all that apply.

- ☐ Licensed child care centers
- ☐ Licensed family child care homes
- ☐ License-exempt providers
- ☐ Early Head Start programs
- ☐ Head Start programs
- ☐ State prekindergarten or preschool programs
- ☐ Local district-supported prekindergarten programs

- ☐ Programs serving infants and toddlers
- ☐ Programs serving school-age children
- ☐ Faith-based settings
- ☐ Tribally operated programs
- ☐ Other. Describe: _____

7.4.3 Support and assess the quality of child care providers.

The Lead Agency may invest in the development, implementation, or enhancement of a tiered quality rating and improvement system for child care providers and services. *Note:* If a Lead Agency decides to invest CCDF quality dollars in a QRIS, that agency can use the funding to assist in meeting consumer education requirements (98.33). If the Lead Agency has a QRIS, respond to questions 7.4.3 through 7.4.6.

Do the state/territory's quality improvement standards align with or have reciprocity with any of the following standards?

- ☐ No
- ☐ Yes. If yes, check the type of alignment, if any, between the state/territory's quality standards and other standards. Check all that apply.
  - ☐ Programs that meet state/territory preK standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, there is a reciprocal agreement between preK programs and the quality improvement system).
  - ☐ Programs that meet federal Head Start Program Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, there is a reciprocal agreement between Head Start programs and the quality improvement system).
  - ☐ Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, an alternative pathway exists to meeting the standards).
  - ☐ Programs that meet all or part of state/territory school-age quality standards.
  - ☐ Other. Describe:
  - ☐ None.

7.4.4 Do the state/territory's quality standards build on its licensing requirements and other regulatory requirements?

- ☐ No
- ☐ Yes. If yes, check any links between the state/territory's quality standards and licensing requirements.
  - ☐ Requires that a provider meet basic licensing requirements to qualify for the base level of the QRIS.

- ☐ Embeds licensing into the QRIS.
- ☐ State/territory license is a "rated" license.
- ☐ Other. Describe: _____
- ☐ Not linked.

7.4.5 Does the state/territory provide financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services that are provided through the QRIS.

- ☐ No
- ☐ Yes. If yes, check all that apply.
  - ☐ One time grants, awards, or bonuses
  - ☐ Ongoing or periodic quality stipends
  - ☐ Higher subsidy payments
  - ☐ Training or technical assistance related to QRIS
  - ☐ Coaching/mentoring
  - ☐ Scholarships, bonuses, or increased compensation for degrees/certificates
  - ☐ Materials and supplies
  - ☐ Priority access for other grants or programs
  - ☐ Tax credits (providers or parents)
  - ☐ Payment of fees (e.g., licensing, accreditation)
  - ☐ Other: _____
  - ☐ None

7.4.6 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. _____

7.5 Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers

Lead Agencies are encouraged to use the needs assessment to systematically review and improve the overall quality of care that infants and toddlers receive, the systems in place or needed to support and enhance the quality of infant and toddler providers, the capacity of the infant and toddler workforce to meet the unique needs of very young children, and the methods in place to increase the proportion of infants and toddlers in higher quality care, including any partnerships or coordination with Early Head Start and IDEA Part C programs.

Lead Agencies are required to spend 3 percent of their total CCDF expenditures on activities to improve the supply and quality of their infant and toddler care. This is in addition to the general quality set-aside requirement.

7.5.1 What activities are being implemented by the state/territory to improve the supply (see also section 4) and quality of child care programs and services for infants and toddlers? Check all that apply and describe.

- ☐ Establishing or expanding high-quality community- or neighborhood-based family and child development centers. These centers can serve as resources to child care providers to improve the quality of early childhood services for infants and toddlers from low-income families and to improve eligible child care providers' capacity to offer high-quality, age-appropriate care to infants and toddlers from low-income families. Describe: _____
- ☐ Establishing or expanding the operation of community- or neighborhood-based family child care networks. Describe: _____
- ☐ Providing training and professional development to enhance child care providers' ability to provide developmentally appropriate services for infants and toddlers. Describe: _____
- ☐ Providing coaching, mentoring, and/or technical assistance on this age group's unique needs from statewide or territory-wide networks of qualified infant-toddler specialists. Describe: _____
- ☐ Coordinating with early intervention specialists who provide services for infants and toddlers with disabilities under Part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.). Describe: _____
- ☐ Developing infant and toddler components within the state/territory's QRIS, including classroom inventories and assessments. Describe: _____
- ☐ Developing infant and toddler components within the state/territory's child care licensing regulations. Describe: _____
- ☐ Developing infant and toddler components within the early learning and developmental guidelines. Describe: _____
- ☐ Improving the ability of parents to access transparent and easy-to-understand consumer information about high-quality infant and toddler care that includes information on infant and toddler language, social-emotional, and both early literacy and numeracy cognitive development. Describe: _____
- ☐ Carrying out other activities determined by the state/territory to improve the quality of infant and toddler care provided within the state/territory and for which there is evidence that the activities will lead to improved infant and toddler health and safety, cognitive and physical development, and/or well-being. Describe: _____
- ☐ Coordinating with child care health consultants. Describe: _____
- ☐ Coordinating with mental health consultants. Describe: _____
- ☐ Other. Describe: _____

7.5.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services for infants and toddlers within the state/territory and the data on the extent to which the state or territory has met these measures. _____

7.6 Child Care Resource and Referral

A Lead Agency may expend funds to establish or expand a statewide system of child care resource and referral services (98.53(a)(5)). It can be coordinated, to the extent determined appropriate by the Lead Agency, by a statewide public or private non-profit, community-based, or regionally based lead child care resource and referral organization (658E(c)(3)(B)(iii)). This effort may include activities done by local or regional child care and resource referral agencies, as discussed in section 1.7.

7.6.1 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. _____

7.7 Facilitating Compliance with State Standards

7.7.1 What strategies does your state/territory fund with CCDF quality funds to facilitate child care providers' compliance with state/territory requirements for inspection, monitoring, training, and health and safety and with state/territory licensing standards? Describe: _____

7.7.2 Does the state/territory provide financial assistance to support child care providers in complying with minimum health and safety requirements?

- ☐ No
- ☐ Yes. If yes, which types of providers can access this financial assistance?
  - ☐ Licensed CCDF providers
  - ☐ Licensed non-CCDF providers
  - ☐ License-exempt CCDF providers
  - ☐ Other. Describe: _____

7.7.3 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. _____

7.8 Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services

7.8.1 Describe how the state/territory measures the quality and effectiveness of child care programs and services in both child care centers and family child care homes currently being offered, including any tools used to measure child, family, teacher, classroom, or provider improvements, and how the state/territory evaluates how those tools positively impact children. _____

7.8.2 Describe the measureable indicators of progress relevant to this use of funds that the State/Territory will use to evaluate its progress in improving the quality of child care programs and services in child care centers and family child care homes within the state/territory and the data on the extent to which the state or territory has met these measures. _____

7.9 Accreditation Support

7.9.1 Does the state/territory support child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high quality?

- ☐ Yes, the state/territory has supports operating statewide or territory-wide for both child care centers and family child care homes. Describe the support efforts for all types of accreditation that the state/territory provides to child care centers and family child care homes to achieve accreditation. _____
- ☐ Yes, the state/territory has supports operating statewide or territory-wide for child care centers only. Describe the support efforts for all types of accreditation that the state/territory provides to child care centers. Describe:
- ☐ Yes, the state/territory has supports operating statewide or territory-wide for family child care homes only. Describe the support efforts for all types of accreditation that the state/territory provides to family child care. Describe:
- ☐ Yes, the state/territory has supports operating as a pilot-test or in a few localities but not statewide or territory-wide.
  - ☐ Focused on child care centers. Describe:
  - ☐ Focused on family child care homes. Describe:
- ☐ No, but the state/territory is in the accreditation development phase.
  - ☐ Focused on child care centers. Describe:
  - ☐ Focused on family child care homes. Describe:
- ☐ No, the state/territory has no plans for accreditation development.

7.9.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. _____

7.10 Program Standards

7.10.1 Describe how the state/territory supports state/territory or local efforts to develop or adopt high-quality program standards, including standards for infants and toddlers, preschoolers, and/or school-age children_____

7.10.2 Describe the measureable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. _____

7.11 Early Learning and Development Guidelines and Other Quality Improvement Activities

7.11.1 If quality funds are used to develop, maintain, or implement early learning and development guidelines, describe the measureable indicators that will be used to evaluate the

state/territory's progress in improving the quality of child care programs and services and the data on the extent to which the state/territory has met these measures (98.53(f)(3)). _____

7.11.2 List and describe any other activities that the state/territory provides to improve the quality of child care services for infants and toddlers, preschool-aged, and school-aged children, which may include consumer and provider education activities, and also describe the measureable indicators of progress for each activity relevant to this use of funds that the state/territory will use to evaluate its progress in improving provider preparedness, child safety, child well-being, or kindergarten entry and the data on the extent to which the state or territory has met these measures. Describe: _____

8 Ensure Grantee Program Integrity and Accountability

Program integrity and accountability activities are integral to the effective administration of the CCDF program. Lead Agencies are required to describe in their Plan effective internal controls that ensure integrity and accountability while maintaining the continuity of services (98.16(cc)). These accountability measures should address reducing fraud, waste, and abuse, including program violations and administrative errors.

This section includes topics on internal controls to ensure integrity and accountability and processes in place to investigate and recover fraudulent payments and to impose sanctions on clients or providers in response to fraud. Respondents should consider how fiscal controls, program integrity, and accountability apply to:

- Memorandums of understanding (MOUs) within the Lead Agency's various divisions that administer or carry out the various aspects of CCDF
- MOUs, grants, or contracts to other state agencies that administer or carry out various aspects of CCDF
- Grants or contracts to other organizations that administer or carry out various aspects of CCDF, such as professional development and family engagement activities
- Internal processes for conducting child care provider subsidy

8.1 Internal Controls and Accountability Measures to Help Ensure Program Integrity

8.1.1 Check and describe how the Lead Agency ensures that all its staff members and any staff members in other agencies who administer the CCDF program through MOUs, grants and contracts are informed and trained regarding program requirements and integrity. Check all that apply:

☐ Train on policy manual. Describe: _____
☐ Train on policy change notices. Describe: _____
☐ Ongoing monitoring and assessment of policy implementation. Describe: _____
☐ Other. Describe:

8.1.2 Lead Agencies must ensure the integrity of the use of funds through sound fiscal management and must ensure that financial practices are in place (98.68 (a)(1)). Describe the processes in

place for the Lead Agency to ensure sound fiscal management practices for all expenditures of CCDF funds. Check all that apply:

- ☐ Verifying and processing billing records to ensure timely payments to providers. Describe: _____
- ☐ Fiscal oversight of grants and contracts. Describe: _____
- ☐ Tracking systems to ensure reasonable and allowable costs. Describe: _____
- ☐ Other. Describe:

8.1.3 Check and describe the processes that the Lead Agency will use to identify risk in their CCDF program. Check all that apply:

- ☐ Conduct a risk assessment of policies and procedures. Describe: _____
- ☐ Establish checks and balances to ensure program integrity. Describe: _____
- ☐ Use supervisory reviews to ensure accuracy in eligibility determination. Describe: _____
- ☐ Other. Describe: _____

8.1.4 Lead Agencies conduct a wide variety of activities to fight fraud and ensure program integrity. Lead Agencies are required to have processes in place to identify fraud and other program violations to ensure program integrity. Program violations can include both intentional and unintentional client and/or provider violations, as defined by the Lead Agency. These violations and errors, identified through the error-rate review process may result in payment or nonpayment (administrative) errors and may or may not be the result of fraud, based on the Lead Agency definition. Check and describe any activities that the Lead Agency conducts to ensure program integrity.

a) Check and describe all activities that the Lead Agency conducts to identify and prevent fraud or intentional program violations. Include in the description how each activity assists in the identification and prevention of fraud and intentional program violations. Include a description of the results of such activity.

- ☐ Share/match data from other programs (e.g., TANF program, Child and Adult Care Food Program, Food and Nutrition Service (FNS), Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS)). Describe: _____
- ☐ Run system reports that flag errors (include types). Describe: _____
- ☐ Review enrollment documents and attendance or billing records. Describe: _____
- ☐ Conduct supervisory staff reviews or quality assurance reviews. Describe: _____
- ☐ Audit provider records. Describe: _____
- ☐ Train staff on policy and/or audits. Describe: _____
- ☐ Other. Describe: _____

b) Check and describe all activities the Lead Agency conducts to identify unintentional program violations. Include in the description how each activity assists in the identification

and prevention of unintentional program violations. Include a description of the results of such activity.

- ☐ Share/match data from other programs (e.g., TANF program, CACFP, FNS, Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, PARIS). Describe: _____
- ☐ Run system reports that flag errors (include types). Describe: _____
- ☐ Review enrollment documents and attendance or billing records. Describe: _____
- ☐ Conduct supervisory staff reviews or quality assurance reviews. Describe: _____
- ☐ Audit provider records. Describe: _____
- ☐ Train staff on policy and/or audits. Describe: _____
- ☐ Other. Describe: _____

c) Check and describe all activities the Lead Agency conducts to identify and prevent agency errors. Include in the description how each activity assists in the identification and prevention of agency errors.

- ☐ Share/match data from other programs (e.g., TANF program, CACFP, FNS, Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, PARIS). Describe: _____
- ☐ Run system reports that flag errors (include types). Describe: _____
- ☐ Review enrollment documents and attendance or billing records. Describe: _____
- ☐ Conduct supervisory staff reviews or quality assurance reviews. Describe: _____
- ☐ Audit provider records. Describe: _____
- ☐ Train staff on policy and/or audits. Describe: _____
- ☐ Other. Describe: _____

8.1.5 The Lead Agency is required to identify and recover misspent funds as a result of fraud, and it has the option to recover any misspent funds as a result of errors.

a) Check and describe all activities that the Lead Agency uses to investigate and recover improper payments due to fraud. Include in the description how each activity assists in the investigation and recovery of improper payment due to fraud or intentional program violations. Include a description of the results of such activity. Activities can include, but are not limited to, the following:

- ☐ Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount. Describe: _____
- ☐ Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency). Describe: _____
- ☐ Recover through repayment plans. Describe: _____
- ☐ Reduce payments in subsequent months. Describe: _____
- ☐ Recover through state/territory tax intercepts. Describe: _____
- ☐ Recover through other means. Describe: _____

- ☐ Establish a unit to investigate and collect improper payments and describe the composition of the unit below. Describe: _____
- ☐ Other. Describe: _____

b) Check any activities that the Lead Agency will use to investigate and recover improper payments due to unintentional program violations. Include in the description how each activity assists in the investigation and recovery of improper payments due to unintentional program violations. Include a description of the results of such activity. Activities can include, but are not limited to, the following:

- ☐ Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount. Describe: _____
- ☐ Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency). Describe: _____
- ☐ Recover through repayment plans. Describe: _____
- ☐ Reduce payments in subsequent months. Describe: _____
- ☐ Recover through state/territory tax intercepts. Describe: _____
- ☐ Recover through other means. Describe: _____
- ☐ Establish a unit to investigate and collect improper payments. Describe: _____
- ☐ Other. Describe: _____

c) Check and describe all activities that the Lead Agency will use to investigate and recover improper payments due to agency errors. Include in the description how each activity assists in the investigation and recovery of improper payments due to administrative errors. Include a description of the results of such activity.

- ☐ Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount. Describe: _____
- ☐ Coordinate with and refer to the other state/territory agency(ies) (e.g., state/territory collection agency, law enforcement agency). Describe: _____
- ☐ Recover through repayment plans. Describe: _____
- ☐ Reduce payments in subsequent months. Describe: _____
- ☐ Recover through state/territory tax intercepts. Describe: _____
- ☐ Recover through other means. Describe: _____
- ☐ Establish a unit to investigate and collect improper payments and describe the composition of the unit below. Describe: _____
- ☐ Other. Describe: _____

8.1.6 What type of sanction will the Lead Agency place on clients and providers to help reduce improper payments due to program violations? Check and describe all that apply:

- ☐ Disqualify the client. If checked, describe this process, including a description of the appeal process for clients who are disqualified. Describe: _____

- ☐ Disqualify the provider. If checked, describe this process, including a description of the appeal process for providers who are disqualified. Describe: _____
- ☐ Prosecute criminally. Describe: _____
- ☐ Other. Describe:

Appendix A: Background Check Waiver Request Form

Lead Agencies may apply for a temporary waiver for certain background check requirements if milestone prerequisites have been fully implemented. These waivers will be considered "transitional and legislative waivers" to provide transitional relief from conflicting or duplicative requirements preventing implementation, or an extended period of time in order for the state/territory legislature to enact legislation to implement the provisions (98.19(b)(1)) These waivers are limited to a one-year period and may be extended for at most one additional year from the date of initial approval.

Approval of these waiver requests is subject to and contingent on OCC review and approval of responses in section 5 questions 5.4.1 – 5.4.4 to confirm that the milestones are met. If milestone prerequisites are not met, the waiver request will not be approved. Approved waivers would begin October 1, 2018 through September 30, 2019.

If approved, States and Territories will have the option to *renew* these waivers for one additional year as long as progress is demonstrated during the initial waiver period. Separate guidance will be issued later on the timeline and criteria for requesting the waiver renewal.

Overview of Background Check Implementation deadlines

Original deadline for implementation (658H(j)(1) of CCDBG Act):	September 30, 2017
Initial one-year extension deadline (658H(j)(2) of CCDBG Act):	September 30, 2018
One-year waiver deadline (45 CFR 98.19(b)(1)(i)):	September 30, 2019
Waiver deadline one-year renewal (45 CFR 98.19(b)(1)(ii)):	September 30, 2020

Waiver approval for new (prospective) staff, existing staff or staff hired provisionally until background checks are completed, are subject to and contingent upon the OCC review and approval of responses to 5.4.9 that demonstrate that the state/territory requires: (1) the provider to submit the background check request before the staff person begins working; and (2) pending the results of the background check, the staff person must be supervised at all times by an individual who has completed the background check.

To submit a background check waiver request, complete the form below.

Check and describe each background check provision for which the Lead Agency is requesting a time-limited waiver extension.

- ☐ **Appendix A.1:** In-state criminal registry or repository checks with fingerprint requirements for existing staff. (See related question at 5.4.1 (b).)
  - Describe the provision from which the state/territory seeks relief.

- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children.
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver.

☐ **Appendix A.2:** In-state sex offender registry requirements for existing staff. (See related question at 5.4.2 (b).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.3:** In-state child abuse and neglect registry requirements for existing staff. (See related question at 5.4.3 (b).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.4:** National FBI fingerprint search requirements for existing staff. (See related question at 5.4.4 (b).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.5:** National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) search requirements for new or prospective staff. (See related question at 5.4.5 (a).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.6:** National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) search requirements for existing staff. (See related question at 5.4.5 (b).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.7:** Interstate criminal registry or repository check for new or prospective staff. (See related question at 5.4.6 (a).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.8:** Interstate criminal registry or repository check for existing staff. (See related question at 5.4.6 (b).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.9:** Interstate sex offender registry or repository check for new or prospective staff. (See related question at 5.4.7 (a).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.10:** Interstate sex offender registry or repository check for existing staff. (See related question at 5.4.7 (b).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.11:** Interstate child abuse and neglect registry check for new or prospective staff. (See related question at 5.4.8 (a).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A.12:** Interstate child abuse and neglect registry check for existing staff. (See related question at 5.4.8 (b).)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____

☐ **Appendix A. 13:** New staff hired to work provisionally until background checks are completed. (See related question at 5.4.9.)

- Describe the provision from which the state/territory seeks relief. _____
- Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. _____
- Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. _____