



# “FUN”damentals of CCDF Administration



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**





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Office of Child Care

## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### CHAPTER 1

#### In This Chapter ...

- Overview of the Office of Child Care
- Administration of Children and Families Regional Office Map
- Office of Child Care Central Office and Regional Office Contact Information
- Frequently Used Terms & Acronyms

#### Web Resources For This Chapter...

- State and Territory Lead Agency Contact List  
<https://www.acf.hhs.gov/programs/occ/resource/ccdf-grantee-state-and-territory-contacts>
- Child Care Development Fund Tribal Grantees Contact List  
<https://www.acf.hhs.gov/programs/occ/resource/ccdf-tribal-grantees-listed-by-state>
- Administration of Children and Families Operational Structure  
<https://www.acf.hhs.gov/about/offices>



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### OVERVIEW OF OFFICE OF CHILD CARE

The Administration for Children and Families’ (ACF) Office of Child Care (OCC) supports working families with low incomes by providing access to affordable, high-quality early care and afterschool programs. OCC administers the Child Care and Development Fund (CCDF) and works with State, Territory, and Tribal governments to provide quality developmental support for children and their families struggling to juggle work schedules with participation in child care programs that fit household needs while preparing children to succeed in school.

CCDF also improves the quality of care available to support children’s healthy development and learning by supporting child care licensing, developing quality improvement systems to help programs meet higher standards, and offering support for child care workers to attain more training and education. To support CCDF services, OCC establishes and oversees the implementation of child care policies, and provides guidance and technical assistance to States, Territories, and Tribes as they administer CCDF programs.

#### History

CCDF is authorized under the Child Care and Development Block Grant Act (CCDBG), which was enacted under the Omnibus Budget Reconciliation Act of 1990. The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 amended and reauthorized the CCDBG and consolidated three Federal child care programs previously serving low-income families under the program formerly known as Aid to Families with Dependent Children. CCDF allocations made over \$5 billion available to States, Territories, and Tribes in Fiscal Year (FY) 2011.

#### Services provided by CCDF

- **Child Care** – Subsidized child care services are available to eligible families through certificates (vouchers), or grants and contracts with providers. Parents may select a child care provider that satisfies any applicable State and local requirements, including basic health and safety requirements. These requirements address prevention and control of infectious diseases including

immunizations, environment and physical premises safety, and basic health and safety training. More than 1.6 million children receive a child care subsidy from the CCDF program every month.

- **Quality Activities** – A minimum of **four** percent of CCDF funds must be used to improve the quality of child care and other additional services to parents, such as resource and referral counseling regarding the selection of child care providers. Consistent with prior years, the FY 2011 discretionary appropriation included funding for targeted purposes: \$284 million for quality expansion activities of which \$104 million is to improve the quality of care for infants and toddlers; and \$19 million to improve school-age care and child care resource and referral services.

To improve the health and safety of available child care, CCDF Lead Agencies may provide training, grants, and loans to providers; improved monitoring; compensation projects; and other innovative programs. Many Lead Agencies are making systemic investments, such as developing quality rating and improvement systems and professional development programs. Tribal Lead Agencies may use a portion of their funds to construct child care facilities provided there is no reduction in the current level of child care services.

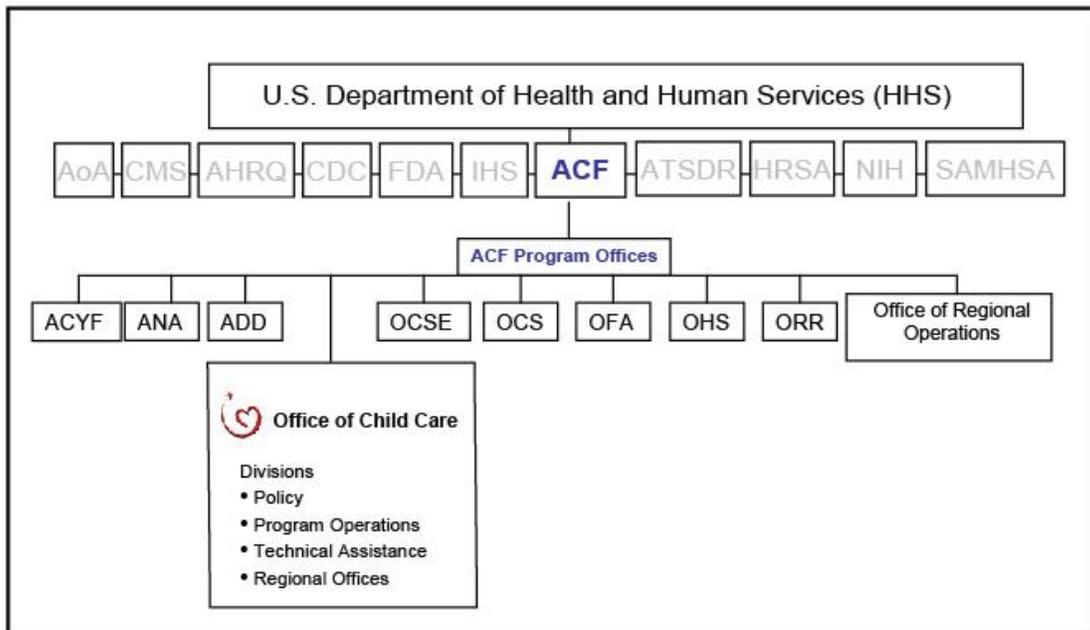
- **Coordination of Resources** – CCDF allows States to serve families through a single, integrated child care subsidy program under the rules of CCDBG. States may coordinate CCDF with Head Start, preK, and other early childhood programs. States can also transfer a portion (up to 30%) of their Temporary Assistance for Needy Families (TANF) grant to CCDF, or spend TANF funds directly for child care.
- **State and Tribal Child Care Plans** – States, Territories, and Tribes must submit comprehensive plans every two years and conduct public hearings in which the public is invited to comment prior to submission of the plan.
- **Research** – FY 2011 funding included approximately \$10 million for child care research, demonstration, and evaluation activities. These funds are increasing the capacity for child care research at the national, State, and local levels while addressing critical questions with implications for children and families. Funds have been awarded to support individual project areas, including policy research,

research partnerships, research scholars, and a web-based archive called Child Care and Early Education Research Connections.

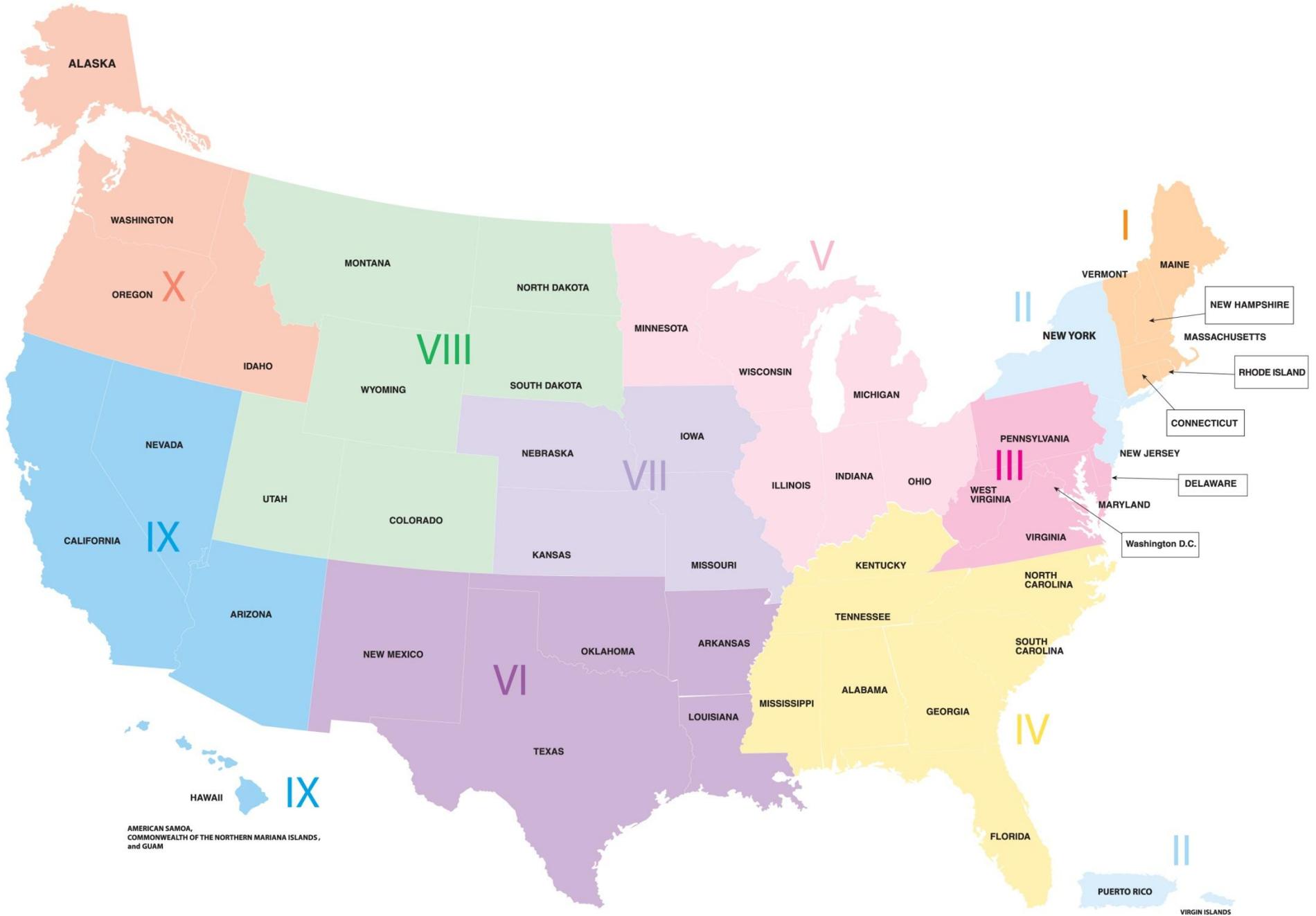
- **Technical Assistance** – One-quarter of 1 percent of the total CCDF is used by the Office of Child Care to provide technical assistance (TA) to grantees. The established TA network is designed to address the needs of States, Territories, and Tribes administering CCDF.

**Organizational Structure within the U.S. Department of Health and Human Services**

The organization chart below highlights OCC in relation to other program offices within ACF and the U.S. Department of Health and Human Services. (Five additional ACF offices are not shown because they are not program offices: the Office of Legislative Affairs and Budget; the Office of Planning, Research and Evaluation; the Office of Public Affairs; the Office of Regional Operations; and the Office of Administration.)



# ACF REGIONS



AMERICAN SAMOA,  
COMMONWEALTH OF THE NORTHERN MARIANA ISLANDS,  
and GUAM



Office of Child Care

## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### OCC CONTACT INFORMATION

#### OCC Mailing Address

Office of Child Care  
Administration for Children and Families  
U.S. Department of Health and Human Services  
Aerospace Building, Fifth Floor East  
370 L'Enfant Promenade, S.W.  
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## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### FREQUENTLY USED TERMS AND ACRONYMS

**Child Care and Development Block Grant (CCDBG)** – Created by the Omnibus Budget and Reconciliation Act of 1990. Funding began in Fiscal Year 1991 to provide States and Tribes the opportunity to increase the availability, affordability, and quality of child care services.

**Child Care and Development Fund (CCDF)** – Consolidated entitlement and discretionary child care funding program created in 1996 as a result of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996. CCDF consists of discretionary funds authorized by CCDBG and entitlement (or mandatory and matching) funds provided by the Social Security Act.

(CCDF is the regulatory term and this language is not directly found in the statutes).

**Personal Responsibility and Work Opportunity Reconciliation Act of 1996 – PL 104-193 (PRWORA)** – Statutory provisions unified a fragmented child care subsidy system to form CCDF. This replaced child care programs under title IV-A of the Social Security Act – Aid to Families with Dependent Children (AFDC) Child Care, Transitional Child Care, and At Risk Child Care – and amended CCDBG to increased funding levels. Also repealed AFDC, Job Opportunities and Basic Skills Training, and Emergency Assistance, and created Temporary Assistance for Needy Families and Native Employment Works.

**Temporary Assistance for Needy Families (TANF)** – A comprehensive welfare reform program with time-limited assistance that focuses on moving recipients into work.

#### Acronyms

ACF	Administration for Children and Families
ACYF	Administration on Children, Youth and Families
BIA	Bureau of Indian Affairs
CACFP	Child and Adult Care Food Program
CAP	Corrective Action Plan

CB	Children's Bureau
CCB	Child Care Bureau ( <i>former name of the Office of Child Care</i> )
CCDBG	Child Care and Development Block Grant
CCDF	Child Care and Development Fund
CCR&R/R&R	Child Care Resource and Referral
CCTAN	Child Care Technical Assistance Network
CDBG	Community Development Block Grant
CFR	Code of Federal Regulations
DRA	Deficit Reduction Act
ELAC	Early Learning Advisory Council
EHS	Early Head Start
FEMA	Federal Emergency Management Administration
FFY/FY	Federal Fiscal Year
FOIA	Freedom of Information Act
FPL	Federal Poverty Level
GMI	Grantee Median Income
HHS	U.S. Department of Health and Human Services
HS	Head Start
IDEA	Individuals with Disabilities Education Improvement Act
IHS	Indian Health Service
IM	Information Memorandum
IPIA	Improper Payment Information Act
IT	Infant & Toddler
LA	Lead Agency
MRS	Market Rate Survey

MOE	Maintenance of Effort
NACCRRRA	National Association of Child Care Resource & Referral Agencies
NAEYC	National Association for the Education of Young Children
NARA	National Association of Regulatory Administrators
NPRM	Notice of Proposed Rule Making
OCC	Office of Child Care
OCSE	Office of Child Support Enforcement
OFA	Office of Family Assistance
OHS	Office of Head Start
OMB	Office of Management & Budget
PD	Professional Development
PI	Program Instruction
PIQ	Policy Interpretation Question
PL	Public Law
QPR	Quality Performance Report
QRIS	Quality Rating Improvement System
RFP	Request for Proposals
RPM	Regional Program Manager
RTT	Race to the Top
SA	State Administrator
SAC	School-Age Care
SAC	State Advisory Council
SIDS	Sudden Infant Death Syndrome
SNAP	Supplemental Nutrition Assistance Program
SSBG	Social Services Block Grant

SMI	State Median Income
TA	Technical Assistance
T&TA	Training and Technical Assistance
TANF	Temporary Assistance for Needy Families
TQRIS	Tiered Quality Rating Improvement System
USDA	U. S. Department of Agriculture



Office of Child Care

## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### CHAPTER 2

#### In This Chapter ...

- Overview of Child Care and Development Block Grant Statute and Regulations
- Overview of Funding and Allocation Formulas
- Overview of Matching Funds

#### Web Resources for This Chapter...

- Child Care and Development Fund (CCDF) Final Rule <https://www.acf.hhs.gov/sites/default/files/occ/fr072498.pdf>
- CCDF Funding Allocations  
<https://www.acf.hhs.gov/programs/occ/resource-library/search?keyword=Final%20rule#?keyword=Funding%20allocations&ajax=1>
- How CCDF Allocations are Calculated <https://www.acf.hhs.gov/programs/occ/resource/ccdf-funding-allocations-and-periods-of-availability>



## “FUN” DAMENTALS OF CCDF ADMINISTRATION



### OVERVIEW OF STATUTE & REGULATIONS

#### Child Care and Development Block Grant Statute<sup>1</sup>

The Child Care and Development Block Grant Act (CCDBG) of 1990 (42 USC 9858), as amended, and section 418 of the Social Security Act (SSA) (42 USC 618), as amended, provide the statutory authority for implementation of the Child Care and Development Fund (CCDF) program as designated by the Administration for Children and Families (ACF).

#### CCDF Final Regulations

The first regulations governing CCDBG were published on August 4, 1992 and became effective on the same date. The regulations and the preamble continue to apply if not superseded by subsequent proposed rule changes. ACF published the final CCDF regulations on July 24, 1998, effective August 24, 1998.

The CCDF regulations are found in the Code of Federal Regulations at 45 CFR Parts 98 and 99.<sup>2</sup> These regulations contain provisions that were published in three Final Rules. The text of each of these Final Rules, including the preamble language, can be found at: <http://www.acf.hhs.gov/programs/occ/law/finalrul/index.htm>.

1. CCDF Final Rule, published July 24, 1998 with an effective date of August 24, 1998. This final rule implemented the child care provisions of the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 (Public Law 104-193) and incorporated technical corrections to PRWORA made by the Balanced Budget Act of 1997 (Public Law 105-33). PRWORA appropriated new entitlement child care funds under section 418 of the Social Security Act. PRWORA also reauthorized discretionary funding under CCDBG of 1990. PRWORA required that entitlement child care funds be transferred to the State, Territory, or Tribal Lead Agency (LA) for CCDBG and be administered by that agency using the provisions of CCDBG. ACF named these combined funds the Child Care and Development Fund. [63 FR 39936]

<sup>1</sup>See Appendix A for full text of statute.

<sup>2</sup>See Appendix B for full text of regulations.

2. CCDF State Match Provisions Final Rule, published May 18, 2007 with an effective date of October 1, 2007. This final rule revised the CCDF regulations to give States increased flexibility in making the necessary State expenditures on child care to access their full allotment of CCDF Federal matching funds. [72 FR 27972]
3. CCDF Error Rate Reporting Final Rule, published September 5, 2007 with an effective date of October 1, 2007. This final rule established requirements for the reporting of error rates in the expenditure of CCDF grant funds by the fifty States, the District of Columbia, and Puerto Rico. [72 FR 50889]

### Key Statutory & Regulatory Provisions<sup>3</sup>

- **CCDF Plan** – By statute, LAs are required to have in place an ACF-approved CCDF Plan, describing how an LA will implement the provisions of CCDBG and CCDF regulations to be submitted on a biennial basis. [CCDBG 658E; 45 CFR 98.16]
- **Eligible Families** – By statute, LAs may serve families whose parents are working or in education or training activities, and as well as families whose children are receiving protective services. By statute, LAs may serve families whose income level does not exceed 85% of the State median income for a family of the same size. [CCDBG 658P(3); 45 CFR 98.20]
- **Eligible Children** – By statute, an LA may serve children under age 13 who are U.S. citizens or qualified legal aliens. By regulation, an LA also may serve children under 19 who are under court supervision or mentally or physically incapable of self-care. [CCDBG 658P(3); 45 CFR 98.20]
- **Eligible Provider** – An eligible child care provider is: a center-based child care provider, a group home child care provider, a family child care provider, an in-home child care provider, or other provider of child care services for compensation that is licensed, regulated, or registered under applicable State or local law and satisfies State and local requirements, including health and safety requirements applicable to the child care services it provides; or a child care provider who is 18 years of age or older who provides child care services to

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<sup>3</sup> 45 CFR 98.2 defines *State* as “any of the States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Marianas Islands, and includes Tribes unless otherwise specified.”

eligible children who are, by marriage, blood relationship, or court decree, the grandchild, great-grandchild, sibling (if such provider lives in a separate residence), niece, or nephew of such provider, and complies with any applicable requirements that govern child care by the relative involved. [CCDBG 658P(4); 45 CFR 98.2]

- **Establishing Priorities** – By statute, LAs must give priority to children with special needs and to children from very low-income families. LAs have the flexibility to define “special needs” and “very low-income.” Many States/Territories have chosen to give priority to such categories as: teen parents, families receiving Temporary Assistance for Needy Families (TANF), families transitioning off TANF, non-TANF teen parents with no high school diploma or General Educational Development, families with medical emergencies, parents who are students in post-secondary education, parents in homeless or spousal abuse shelters, children in protective services or in foster care, and children in need of before-and after-school care. [CCDBG 658E(c)(3)(B); 45 CFR 98.44]
- **Parental Choice** – The statute provides for parental choice of child care provider. Parents may choose any legally operating child care provider. The regulations define child care provider as one who provides child care either in a center, a group home, a family home, or in the child's own home. (LAs may limit the use of in-home care.) Care by a sectarian provider, a relative provider, and any other type of legally provided child care are allowable choices. [CCDBG 658E(c)(2)(A); 45 CFR 98.30]
- **Consumer Education** – By statute, LAs must disseminate, to parents of eligible children and the general public, consumer education information that will promote informed child care choices. [CCDBG 658E(c)(2)(D); 45 CFR 98.33]
- **Payment Method** – The statute requires that the family offered CCDF-subsidized care be given the choice to enroll the child with a provider who has a grant or contract to provide services or to receive a child care certificate. By regulation, LAs are required to offer the choice of a provider who has a grant or contract, if such services are available. States and Territories are required to offer parents the choice of a child care certificate anytime child care services are made available to the parent. A certificate is defined in the statute as a check or other disbursement that is issued by a State or local government under the statute directly to a parent

who may use the certificate only as payment for child care services. [CCDBG 658E(c)(2)(A)(i) & 658P(2); 45 CFR 98.30(a)(1), 45 CFR 98.30(a)(2), & 45 CFR 98.2]

- **Provider Payment Rates** – By statute, a LA’s CCDF Plan “shall certify that payment rates for the provision of child care services for which assistance is provided [under CCDF] are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance [under CCDF] or for child care assistance under any other Federal or State programs.” The regulations require that the LA describe in its CCDF Plan: (1) how a choice of the full range of providers is made available; (2) how payment rates are adequate based on a local market rate survey conducted within the past two years; and (3) how co-payments based on a sliding fee scale are affordable. [CCDBG 658E(c)(4); 45 CFR 98.43]
- **Family Cost Sharing** – The statute requires that the family contribute to the cost of care on a sliding fee basis. The CCDF Plan must include the scale or scales used to determine the family's contribution. The statute requires that the scale be based on family size and income. The LA may add other factors, e.g., the number of children in care, rules for counting income. By regulation, LAs may exempt families below the Federal poverty level from paying the CCDF co-payment. [CCDBG 658E(c)(5); 45 CFR 98.42]
- **Limit on Administrative Costs** – By statute, an LA must spend no more than 5% of their CCDF funds (Discretionary, Mandatory, and State and Federal share of the Matching Funds) on administration. Activities such as eligibility determination, child care placement, and providing parents with information about child care services are not considered administration. [CCDBG 658E(c)(3)(C); 45 CFR 98.52]
- **Minimum Expenditures on Quality** – By statute, LAs must spend at least 4% of their CCDF funds (Discretionary, Mandatory, and State and Federal share of the Matching Funds) on activities to improve the quality and availability of child care. Appropriate activities include those designed to provide comprehensive consumer education to parents and the public, activities that increase parental choice, and activities designed to improve the quality and availability of child care. Since 2000, annual appropriations law has required the use of specified amounts

of CCDF funds for targeted purposes, including quality, infant and toddler quality, school-age care, and resource and referral. [CCDBG 658G; 45 CFR 98.51]

- **Licensing of Providers** – By statute, an LA must certify that it has in effect licensing requirements applicable to child care services provided within the State/Territory. The LA must describe those requirements in its CCDF plan as well as how they are effectively enforced. The statute specifies that the requirement does not mean that States/Territories must apply licensing requirements to a specific type of child care provider. CCDF regulations specify that these licensing requirements do not prohibit States/Territories from applying more stringent standards or regulatory requirements on providers serving CCDF children. [CCDBG 658E(c)(2)(E); 45 CFR 98.40]
  
- **Health & Safety** – By statute, an LA must certify that there are in place requirements designed to protect the health and safety of children that are applicable to the providers that serve CCDF children. The requirements shall include: prevention and control of infectious diseases (including immunization); building and physical premises safety; and minimum health and safety training appropriate to the provider setting. With the exception of relative providers, all providers of care to CCDF children must meet the basic health and safety standards, whether through licensure or regulation or through requirements designed by the LA that apply to unregulated providers serving CCDF-subsidized families. (Relative providers are defined as: grandparents, great-grandparents, siblings (if living in a separate residence), aunts, and uncles.) [CCDBG 658E(c)(2)(F); 45 CFR 98.41]



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### OVERVIEW OF CHILD CARE AND DEVELOPMENT FUND FUNDING & ALLOCATION FORMULAS

#### CCDF Funding

The Child Care and Development Fund (CCDF) is the primary Federal program specifically devoted to providing families with child care subsidy and supports to improve quality. CCDF is jointly financed by Federal and State governments and consists of three component funding streams: Discretionary, Mandatory, and Matching funds. CCDF Discretionary funds are provided under Section 658B of the Child Care and Development Block Grant Act of 1990 (CCDBG), as amended (42 U.S.C. 9858, et seq.) and appropriated annually. Although the Discretionary Fund authorized \$1 billion a year through FY 2002, Congress has routinely appropriated amounts in excess of \$1 billion for each fiscal year through FY 2012, with \$2.28 billion appropriated for FY 2012 in the Consolidated Appropriations Act of 2012 (Public Law 112-74).

Mandatory and Matching funds of CCDF were enacted by the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996, Public Law 104-193, and are appropriated under Section 418 of the Social Security Act (SSA) (42 U.S.C. 618). PRWORA repealed the old welfare-related child care programs provided under SSA (Aid to Families with Dependent Children (AFDC), Job Opportunities and Basic Skills Training (JOBS), Transitional, and At-Risk) and required that the new Mandatory and Matching Funds be transferred to a State's LA for CCDBG and be administered by that agency, using the provisions of CCDBG, as amended by PRWORA. The Deficit Reduction Act of 2005, Public Law 109-171, extended and increased CCDF Mandatory and Matching funding. CCDF Mandatory and Matching funding has been continued through the end of FY 2012 by the Middle Class Tax Relief and Job Creation Act of 2012 (Public Law 112-96).

To access Matching funds, States must provide a share of the Matching funds (based on prevailing Federal Medical Assistance Percentages rate) and spend their required Maintenance of Effort (MOE) level. A State's MOE level is based on the Federal share of its funding for the now-repealed AFDC-linked child care programs. The share is based on Federal funds received in FY 1994, FY 1995, or an average of funds received in FY 1992-

1994, whichever is greater. Mandatory and Matching funds remain at \$2.9 B for FY 2012.

ACF designated the combined funding from these component funding streams CCDF to signify the unification of CCDBG and child care subsidy funding under SSA. Combined funding for the CCDF program for FY 2012, including CCDBG Discretionary Fund and CCDF Mandatory and Matching funds, is around \$5.2 billion.<sup>1</sup>

### Distribution of CCDF Funding

Subject to the availability of appropriations, CCDF is distributed as follows:

- Each fiscal year, ACF reserves 0.25% of CCDF funds (Mandatory, Matching, and Discretionary) for providing technical assistance (TA) to grantees.
- Of the Discretionary Fund, each fiscal year, Indian Tribes and Alaskan Native Villages or regional or village corporations receive 2% and Territories receive 0.5%. Of the remaining amount appropriated for FY 2012, nearly \$10 million was set aside for use by the Secretary for child care research, and nearly \$1 million was set aside for a competitive grant for the operation of a national toll-free hotline and Web site to provide child care consumer education to parents. States receive the remaining funds out of the Discretionary Fund.
- Of the Matching and Mandatory Funds, States receive about 98% of the Mandatory Funds and are eligible to receive up to 98% of the Matching Funds. Indian Tribes receive 2%, which is comprised entirely of Federal funds. Grantees must apply for funds and have an ACF-approved biennial CCDF Plan.

### CCDF Allocation Formulas

**Mandatory Funds:** These are 100% Federal funds. A State's share of the funds is based on the Federal share of its funding for the now-repealed AFDC-linked child care programs (AFDC/JOBS Child Care, Transitional Child Care, and At-Risk Child Care). The share is based on Federal funds received in FY 1994, FY 1995, or an average of funds received in FY 1992–1994, whichever is greater.

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<sup>1</sup> For additional information on annual appropriations for CCDF and other early childhood programs, see the Appropriations Summary on the OCC Web site at [http://www.acf.hhs.gov/programs/occ/ccdf/approp\\_2011.htm](http://www.acf.hhs.gov/programs/occ/ccdf/approp_2011.htm).

**Matching Funds:** Matching funds are remainder funds, i.e., the difference between the amount appropriated by Congress for a given year (under section 418(a)(3) of SSA), less amounts reserved for TA and Tribal mandatory funds, and the amount of Mandatory funds distributed to States. Matching funds are allocated to States on the basis of the number of children under age 13 in a State compared with the national total of children under age 13. (The data is to be based on the best that is available for the second year preceding the allocation.)

In order to receive these funds, a State must: (1) provide Matching funds at the current Medicaid match rate; (2) obligate the Federal and State share of Matching funds in the year in which the Matching funds are awarded; (3) obligate all of its Mandatory funds in the fiscal year in which the Mandatory funds are awarded; (4) obligate and expend its MOE funds in the year in which the Matching funds are awarded.

**Discretionary Funds:** Discretionary funds are 100% Federal funds and are allocated to the States using a proportional formula based on three factors:

1. The Young Child Factor: The State’s share of children under age five;
2. The School Lunch Factor: The State’s share of children receiving free or reduced-price lunch; and
3. The Allotment Proportion Factor: The State per capita income (averaged over three years).

### Obligation and Liquidation Requirements

If Source of Funds is FY 2012 (10/1/11- 9/30/12)	Obligation Must Be Made by End of	And Liquidated by the End of
Discretionary	FY 2013 (9/30/2013) (By end of 2 <sup>nd</sup> fiscal year)	FY 2015 (9/30/2015) (By end of 3 <sup>rd</sup> fiscal year)
Mandatory	FY 2012 (9/30/2012) (For States requesting Matching Funds, by end of 1 <sup>st</sup> fiscal year)	No requirement to liquidate by a specific date
Matching	FY 2012 (9/30/2012) (By end of 1 <sup>st</sup> fiscal year)	FY 2013 (9/30/2013) (By end of 2 <sup>nd</sup> fiscal year)
MOE	FY 2012 (9/30/2012) (For States requesting Matching Funds, by end of 1 <sup>st</sup> fiscal year)	FY 2012 (9/30/2012) (For States requesting Matching Funds, by end of 1 <sup>st</sup> fiscal year)



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### AN OVERVIEW OF CCDF MATCHING FUNDS

- Matching funds are the remaining amount of CCDF funds after Mandatory funds are allotted. Matching funds are allocated based on each State’s share of children under the age of 13.
- In order to receive these funds, a State must: (1) provide Matching funds at the current Medicaid match rate; (2) obligate the Federal and State share of Matching funds in the year in which the Matching funds are awarded; (3) obligate all of its Mandatory funds in the fiscal year in which the Mandatory funds are awarded; (4) obligate and expend its MOE funds in the year in which the Matching funds are awarded. (MOE means a State must continue to expend its own funds at the level it was matching the former AFDC-linked child care programs in FY 1994 or FY 1995, whichever was greater.)
- States may meet the match requirement through expenditures of:
  - Public Funds. Public funds appropriated directly to the State’s LA may be used to meet State match requirements. Public funds may include general revenue funds, county or other local public funds, State-specific funds (e.g., tobacco tax, lottery), or any other public funds. Match requirements may be met by expenditure of public funds transferred from another public agency to the LA, as long as they are under the administrative control of the LA or certified by the contributing public agency as representing expenditures eligible for Federal match. Federal funds or funds used to match other Federal funds may not be used to meet CCDF match requirements, unless authorized by Federal law to be used to match other Federal funds. [45 CFR (e)(1)]
  - Public pre-Kindergarten (preK) Funds. In any fiscal year, a State may use public preK funds for up to 30% of the funds for State match.<sup>1</sup> Public preK

<sup>1</sup>CCDF State Match Provisions Final Rule, published May 18, 2007 with an effective date of October 1, 2007. This final rule revised the CCDF regulations to give States increased flexibility in making the necessary State expenditures on child care to access their full allotment of CCDF Federal matching funds. [72 FR 27972]

expenditures may be eligible for match if the State includes in its CCDF plan a description of the efforts it will undertake to ensure that preK programs meet the needs of working parents. The assessment of the preK limitations will take place at the end of the applicable fiscal year, and not by quarter. [45 CFR 98.53(h)]

- Private Donated Funds. State match may include donated funds from private sources. The funds must be certified both by the State's LA and either the donor or the entity designated by the LA to receive privately donated funds. In order for donated funds to be counted toward match, the funds must have been donated without any restriction that would require their use for a specific individual, organization, facility, or institution and may not revert to the donor's facility or use. Additionally, the funds may not be used to match other Federal funds and must be subject to audit. See 98.53(e)(2) and related preamble. [45 CFR 98.53(e)(2)]
- In-kind contributions and parent co-payments for child care services are not eligible State expenditures for meeting Match requirements. [45 CFR 98.53(g)]



## “FUN” DAMENTALS OF CCDF ADMINISTRATION



### CHAPTER 3

#### In This Chapter ...

- Child Care and Development Fund (CCDF) Administrator’s Checklist
- Responsibilities of Lead Agency
- Overview of CCDF Reporting (ACF-118, ACF-696, ACF-800, ACF-801, ACF-400, ACF-401, and ACF-402)

#### Web Resources for This Chapter...

- CCDF Pan Pre-Print Program Instruction 2012-2013  
<https://www.acf.hhs.gov/programs/occ/resource/pi-2011-03>
- ACF-118 E Submission Site State/Territory User’s Guide  
<https://www.acf.hhs.gov/programs/occ/resource/acf-118-e-submission-site>
- Approval of Plan Amendments  
<https://www.acf.hhs.gov/programs/occ/resource/pi-2009-01>
- Market Rate Surveys <https://www.acf.hhs.gov/programs/occ/resource/pi-2009-02>
- ACF-696 Forms and Instructions  
<https://www.acf.hhs.gov/programs/occ/resource/pi-2009-08>
- ACF-800 Forms and Instructions  
<https://www.acf.hhs.gov/programs/occ/resource/acf-800-reporting-instructions-definitions>
- ACF-801 Forms and Instructions  
<https://www.acf.hhs.gov/programs/occ/resource/pi-2012-01>
- Data Collection Forms and Instructions  
<https://www.acf.hhs.gov/programs/occ/resource/data-collection-instructions>
- Office of Child Care Program and Integrity Plan  
<https://www.acf.hhs.gov/programs/occ/resource/program-integrity-and-accountability>
- Audit Procedures and Allowable Activities  
[http://www.whitehouse.gov/sites/default/files/omb/assets/OMB/circulars/a133\\_compliance/2011/hhs.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/OMB/circulars/a133_compliance/2011/hhs.pdf)



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### NEW CCDF ADMINISTRATORS CHECKLIST

- 1) **Review the CCDF Final Regulations.** The Code of Federal Regulations, at 45 CFR Parts 98 and 99, include the CCDF Final Rule, CCDF State Match Provisions Final Rule, and CCDF Error Rate Reporting Final Rule.
  
- 2) **Review the CCDF Reporting Requirements.** CCDF Reports for State and Territories include the ACF-118 and the corresponding Quality Performance Report, ACF-400, ACF-401, ACF-402, ACF-696, ACF-800, and ACF-801. See Part C of Chapter 3 *“Overview of CCDF Reporting Requirements”*, which gives details of reports, reporting periods, and due dates.
  
- 3) **Review the most current CCDF Plan and ACF-118 E-Submission Site State/Territory User’s Guide.** CCDF Plans are available through the Office of Child Care (OCC) Web site and your Regional Office. Beginning in Fiscal Year (FY) 2012-2013, Lead Agencies submit the CCDF Plan through an electronic submission (e-submission) process. It is important to consult with your Administration for Children and Families’ (ACF) Regional Office to ensure that you receive federal updates, guidance, and information. See Chapter 1 *“OCC Regional Office Contact List”*. *Review past 696, 800, 801, Quality Performance, and Error Rate Review reports.*
  
- 4) **Contact your State/Territory Fiscal Office and review the program budget** to ensure that it can support the activities described in the current CCDF plan. Familiarize yourself with timelines and processes for funding and reporting. You may contact your ACF Regional Office if there is a specific scenario that is in need of clarification. *See chapter 3 “Overview of CCDF Reporting Requirements.”*

- 5) **Review program management and implementation policies and procedures and update as needed.** *See chapter 4, "Running the CCDF Program: Implementation."*
  
- 6) **Review the timelines for public hearings, market rate surveys, Plan amendments and other requirements (e.g., allow time for consultation in the development of the CCDF Plan).**
  
- 7) **Get to know the needs of the families who are using child care services and those who may need services.**
  - a. Is there a current State/Territory or community needs assessment? (e.g., Head Start is required to conduct a needs assessment which could provide useful insights into community child care needs within your State.)
  - b. Are child care services accessible and affordable, and do they provide a level of quality that ensures the developmental needs of the children are met?
  - c. Do the available programs and services address the needs of working families?
  - d. Are families active partners in CCDF program planning and implementation?
  - e. Do families have the information they need to make the best decisions for their children's care?
  
- 8) **Get to know the child care providers and other early childhood and school-age programs in the community.**
  - a. Are the services focused on meeting the needs of infants, toddlers, preschoolers, and school-age children?
  - b. Do the programs and services address child care needs across all populations, including special needs, English language learners, and others?
  - c. What is needed to recruit and retain a high quality child care workforce?
  - d. Is there a professional development plan that enables child care staff and providers to increase their knowledge and competencies?

- 9) **Keep current on new information (i.e. program instructions and guidance issued) and resources to support child care.** Visit the [OCC Web site](#) for most up-to-date requirements and resources you may need to improve the quality of early care and education and school-age care and assistance to reach your CCDF plan goals.
  
- 10) **Build partnerships with other Federal, State, Tribal, and community programs that serve children and families.** Utilize opportunities to network and share ideas, successes and challenges with other CCDF Administrators. CCDF Administrators are subscribed to the CCAAdmin Listserv to provide an opportunity to communicate with one another across the country. Federal staff will not engage in the discussion or use the e-mail to request or respond to information shared. Contact your ACF Regional Office to be added to this listserv.



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### RESPONSIBILITIES OF CCDF LEAD AGENCIES<sup>1</sup>

Under CCDF, Lead Agencies (LAs) have considerable latitude in administering and implementing their child care programs. The following list includes some of the basic responsibilities of an LA as found in the statute and regulations.

*An LA is designated by the chief executive of a State or Territory, or by the appropriate Tribal Leader or applicant, and has the responsibility and authority to:*

- Administer and/or implement child care programs, directly or indirectly, through other local Agencies whether public, private, non-profit, or for profit. If the LA administers or implements the CCDF program indirectly, it must have written agreements with such agencies, which specify mutual roles and responsibilities.
- Maintain the overall responsibility for CCDF child care programs. The LA determines the basic use of CCDF funds as well as the priorities for allocating CCDF funds and:
  - Promulgates the rules governing overall administration.
  - Submits all reports required by the Secretary.
  - Assures program compliance with the approved plan and all Federal requirements.
  - Oversees the spending of funds by sub-grantees and contractor.
  - Monitors programs and services.
  - Fulfills the responsibilities of any sub-grantee that does not comply regarding:
    - fiscal management
    - program implementation
    - monitoring
    - response to complaints.
- Serve as the single point of contact for all child care issues.

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<sup>1</sup> 45 CFR 98.10--98.17

- Develop the CCDF Plan at the time and in the manner specified by the Secretary.

*The CCDF Plan, which the LA must submit to the Secretary for funding, identifies and provides the:*

- LA
- Entity designated to receive private donated funds.
- Purposes for which the funds will be expended.
- Amount of funds requested, as prescribed by the Secretary.
- Information specified by the Secretary.

*In developing the CCDF Plan, the LA must:*

- Consult with the appropriate representatives of local government.
- Coordinate the provision of services with other Federal, State, and local child care and early childhood development programs including such programs for the benefit of Indian children.
- Hold at least one public hearing.
- Conduct a market rate survey no earlier than two years prior to the effective date of the currently approved Plan.

*The CCDF Plan includes assurances that:*

- The LA will comply with all the requirements of the Child Care and Development Block Grant (CCDBG) Act of 1990 and the regulations.
- CCDF funds will not be used for lobbying.
- The LA provides a drug-free workplace.
- No principals have been disbarred.
- The LA enforces applicable provisions regarding nondiscrimination.
- The LA complies with the Pro-Children Act of 1994, regarding prohibitions on smoking.

*Upon approval of the Plan, the LA will have in place a child care program that:*

- Complies with the provisions of the Plan.
- Is administered in accordance with the CCDBG Act, as amended; section 418 of the Social Security Act (SSA); and all other applicable laws and regulations.

*Other LA responsibilities:*

- LAs must have an audit conducted after the close of each program period and ensure that sub-grantees are audited in accordance with appropriate audit requirements.
- LAs must submit fiscal and program reports as prescribed by the U.S. Department of Health and Human Services (HHS).
- LAs must submit Plan amendments within 60 days of the effective date of substantial change in the program.



## “FUN” DAMENTALS OF CCDF ADMINISTRATION



### OVERVIEW OF BIENNIAL CCDF PLAN (ACF – 118)

The CCDF Plan for States and Territories is required biennially (every two years) from each CCDF LA by section 658E of CCDBG of 1990, as amended (Public Law 101-508, Public Law 104-193, 42 U.S.C. 9858). The implementing regulations for the statutorily required Plan are set forth at 45 CFR 98.10 through 98.18.

The Plan “Pre-Print” serves as the application for CCDF funds by providing a description of, and assurance about, the Lead Agency’s child care program and services available to eligible families.

The Office of Child Care sends each LA a Program Instruction and has developed a Web-based electronic submission (e-submission) site to allow State and Territory grantees to electronically submit their CCDF Plan. This allows the Regional Office (RO) and Central Office (CO) Staff users to electronically review and approve the Plans, and Technical Assistance (TA) providers to have access to approved Plans as needed in order to provide targeted TA. The e-submission site is secure and CCDF Administrators will need a log-in and password for submission.

Beginning in FY2012-2013, the CCDF Plan contains an appendix called the Quality Performance Report (QPR). This appendix will be submitted annually starting December 31, 2012. The QPR gathers information on State/Territory’s progress in meeting its goals as reported in the CCDF plan and on progress and improving the quality of child care.

#### Plan Publication Process

- The CCDF Plan undergoes a three-step clearance process through the Office of Management and Budget (OMB), who oversees all information collection activities for government agencies and monitors compliance with the Paperwork Reduction Act.
- The first two steps involve two separate public comment periods through the Federal Register – a 60-day public comment period and a separate 30-day public comment period. The final step involves review and approval by OMB taking the public comments into consideration. The overall clearance and publication

process lasts approximately nine months. Once the clearance process begins, OCC will address public comments and may make changes to the Pre-Print. However, substantial changes to the Pre-Print are typically limited once the clearance process begins.

### Key Dates to Remember

- Plan Preparation
  - Public Hearing – At least one public hearing must be held no earlier than January 1st of the submission year and the public must have 20 days notice in advance.
  - Market Rate Survey – Must be conducted no earlier than two years prior to the effective date of the currently approved Plan.
- Deadline for Plan Submission - Plans must be submitted no later than July 1 in the odd numbered years.
- OCC Review and Approval of Plans – August 1 through September 30.
- Plan Effective Date – Once approved, Plans are effective for a two-year period beginning October 1 of the funding year.
- Plan Amendments – Plan amendments are required for substantial program changes. Amendments are due within 60 days of the effective date of the change.
- Quality Performance Report – Submitted annually beginning December 31, 2012.

### Resources

- CCDF Plan Program Instructions and Form  
<https://www.acf.hhs.gov/programs/occ/resource/pi-2011-03>
- CCDF Plan E-Submission Guide  
<https://www.acf.hhs.gov/programs/occ/resource/acf-118-e-submission-site>



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### SUBMITTING CCDF PLAN AMENDMENTS

Any substantial change to the CCDF program requires an amendment to the approved Plan pursuant to 45 CFR 98.18(b) of CCDF regulations. Prior to amending the ACF-118 Plan, LAs must first contact the RO to discuss any proposed modifications to their Plan. The RO can assist in determining the need for the amendment as well as providing guidance on the information needed to complete the amendment.

ACF encourages LAs to formally submit any plan amendment prior to implementation in order to avoid the possibility of implementing a policy that fails to meet Federal requirements (in which case the amendment cannot be approved). If prior submittal is not possible, the LA must submit the plan amendment within 60 days of implementation. In no case will ACF approve an effective date that is more than 60 days prior to the submission of a plan amendment. LAs will use the CCDF ACF-118 Plan Submission site to submit Plan amendments.

ACF will make determinations on amendments no later than 90 days following the date on which the amendment is received, unless a written agreement to extend that period has been secured. Program Instruction, CCDF-ACF-PI-2009-01, provides additional clarification regarding Plan amendments and is available on OCC's Website <https://www.acf.hhs.gov/programs/occ/resource/pi-2009-01>.



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### OVERVIEW: ACF-696 FINANCIAL REPORTING

All State and Territorial grantees are required to complete and submit the ACF-696 Financial Report on a quarterly basis for each FY grant award until all funds are expended. Since CCDF funds from a given grant award may be available for use in more than one FY, an LA will likely report on multiple grant awards simultaneously.

Quarterly reporting due dates: January 31<sup>st</sup>, April 30<sup>th</sup>, July 31<sup>st</sup>, and October 31<sup>st</sup>.

State and Territorial grantees report grant award expenditures from each of the three CCDF component funding streams on the ACF-696:<sup>1</sup>

- *Discretionary Fund* – authorized by CCDBG, Discretionary Funds are 100% Federal funds and include targeted quality funds. States may transfer up to 30% of their TANF grants to CCDF and these funds are treated as Discretionary CCDF Funds.
- *Mandatory Fund* – appropriated under section 418(a)(3) of the SSA. Mandatory funds are 100% Federal funds.
- *Matching Fund* – Matching funds are the remaining amount appropriated under section 418(a)(3) of the SSA after Mandatory funds are allotted. In order to receive the full allotment of Matching funds for an FY, a State must expend their Maintenance of Effort (MOE) requirement and obligate all Mandatory funds. State expenditures in excess of the MOE requirement are matched at the Federal Medical Assistance Percentage.
  - States may count private donated funds and public pre-Kindergarten (preK) expenditures as match. However, in any FY, a State is limited to using public preK funds for up to 20% of the funds serving as MOE and up to 30% of the State’s share of matching funds.

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<sup>1</sup> The term “State”, as used in this document, generally also includes Territories except when specifically referring to CCDF Mandatory or Matching Funds. Territories do not receive Mandatory or Matching Funds.

- MOE is a Federal mandate that the States will spend a certain minimum amount of its own money (that had existed in a base period) to help eligible clients in ways that are consistent with the program involved. A State's MOE level is based on the Federal share of its funding for the now-repealed Aid to Families with Dependent Children-linked child care programs. The share is based on Federal funds received in FY 1994, FY 1995, or an average of funds received in FY 1992-1994, whichever is greater.

LAs must follow the applicable obligation and liquidation periods when expending and accounting for CCDF grant funds. In general, an *obligation* is an action that commits the funds, for example through issuance of a voucher or certificate to a family or through a contract or sub-grant for purchase of services. *Liquidation* generally means the payment of funds to a third party, such as a child care provider, as a result of an obligation. [Also see CCDF regulations at 45 CFR 98.60]

The table below indicates obligation and liquidation period requirements for each of the CCDF component funding streams.

<b>If Source of Funds is FY 2012:</b>	<b>Must be Obligated by End of:</b>	<b>And Liquidated by the End of:</b>
Discretionary	FY 2013 (9/30/13) (By end of 2nd fiscal year)	FY 2014 (9/30/14) (By end of 3rd fiscal year)
Mandatory	FY 2012 (9/30/12) (For States requesting Matching Funds, by end of 1st fiscal year)	No requirement to liquidate by a specific date
Matching	FY 2012 (9/30/12) (By end of 1st fiscal year)	FY 2013 (9/30/13) (By end of 2nd fiscal year)
MOE	FY 2012 (9/30/12) (For States requesting Matching Funds, by end of 1st fiscal year)	FY 2012 (9/30/12) (For States requesting Matching Funds, by end of 1st fiscal year)

CCDF funds must be expended in accordance with CCDBG, the implementing regulations at 45 CFR Parts 98 and 99, and the approved CCDF State or Territorial Plan. For this reason ACF encourages CCDF administrators to communicate with their counterparts filing the CCDF financial reports to confirm expenditures being reported are consistent with what the LA describes in the CCDF Plan.

### **Reallotted Discretionary Funds (CCDF Reg. § 98.64(b)):**

- States must submit reports by March 31 of each year declaring the amount (if any) from the previous year's Discretionary Fund grant that it will be unable to obligate by the end of the obligation period.
- Any unobligated Discretionary Funds shall be reallotted to the other States in proportion to the original allotments.
- Reallotted Discretionary Funds must be obligated and liquidated in the applicable periods for which they were originally allotted.

### **Redistributed Matching Funds (CCDF Reg. § 98.64(c)):**

- Any unobligated portion of a State's Matching Fund grant shall be redistributed to requesting States that have met the requirements for Matching funds in the period for which the grant was first made.
- Redistributed Matching funds are considered part of the grant for the fiscal year in which the redistribution occurs.

### **Restrictions on use of CCDF funds:**

- Construction – No funds may be expended for the purchase, construction, or permanent improvement of any building or facility. CCDF funds may be expended for minor remodeling to assure child care providers meet State and local standards. [See CCDF regulations at 45 CFR 98.54(b)]
- Tuition Restriction – CCDF funds may not be used for students enrolled in grades 1 – 12 for services provide during the regular school day, services for which students receive academic credit, or instruction services that supplant the program of any public or private school.
- Sectarian Purposes – CCDF funds may not be directly expended for any sectarian purpose or activity (e.g., services provided through a grant or contract). However, CCDF funds provided through child care certificates (vouchers) may be expended for sectarian purposes or activities including sectarian instruction or worship provided as part of child care services.



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### OVERVIEW: ACF-800 & ACF-801 CHILD CARE DATA REPORTING

For reporting purposes, OCC collects administrative data regarding the number of children and families served through CCDF, as well as other caseload characteristics. Aggregate and case-level child care program information is required by Section 658K of CCDBG, as amended. The aggregate and case-level child care data reporting received through the ACF-800 and ACF-801 forms provide the means to analyze and evaluate the CCDF program and the extent to which States are assisting families in addressing child care needs. Collection of this data provides OCC with the information necessary to make its biennial report to Congress, address national child care needs, offer TA to grantees, meet performance measures, and conduct research.

#### ACF-800 Annual Aggregate Child Care Data Report

All CCDF LAs in the States, the District of Columbia, and Territories are responsible for completing the ACF-800 form. The ACF-800 collects State-level aggregate child care program information. Aggregate data for the ACF-800 are required to be *total, unduplicated* counts of the State or Territory's CCDF caseload. Therefore, each family, child, and provider must be counted only once during the reporting period as indicated.

The State-level aggregate report should be submitted through the Internet, unless other arrangements have been made with the appropriate Regional Office. A Web-based ACF-800 form <http://www.acf.hhs.gov/programs/occ/resource/acf-800-form> is available for submission. To make submission easier, the Web-based form automatically checks for some errors. If errors are found, they are highlighted in red. The data errors can also be corrected through the Internet. To ensure the validity of the data submitted, the Web site is secured and requires a log-in and password for submission.

The National Center on Child Care Data and Technology provides TA related to the submission of the ACF-800. You may contact the Center for assistance in completing the State-level report at 877-249-9117 or [ncdt@childcaredata.org](mailto:ncdt@childcaredata.org). For more information visit:

## ACF-800 Technical Bulletins:<sup>1</sup>

- Technical Bulletin #1r-v3: Revised ACF-800 State-Level Data Standards  
<https://www.acf.hhs.gov/programs/occ/resource/tb01r-4>

## ACF-801 Monthly Child Care Data Report

All CCDF LAs in the States, the District of Columbia, and Territories are responsible for completing the ACF-801 form. The ACF-801 collects case-level child care program information for CCDF required by Section 658K of CCDBG, as amended.

Case-level data is collected monthly and reported monthly or quarterly. Monthly submissions are due 90 days after the end of the month; quarterly submissions are due 60 days after the end of each quarter. The case-level report must be submitted electronically to ACF via a secure electronic medium. States should contact the National Center on Child Care Data and Technology for further information. The National Center on Child Care Data and Technology assists CCDF grantees with their questions and concerns related to the ACF-801 and can be reached by contacting the RO.

## ACF-801 Technical Bulletins:

- Technical Bulletin #2 Issues Related to Data Collection and Analysis
- Technical Bulletin #3r-v2 Revised ACF-801 Case-Level Data Standards
- Technical Bulletin #4r Revised ACF-801 Case-Level File Format
- Technical Bulletin #5 ACF-801 Case-Level Data Submission Guidelines
- Technical Bulletin #6r CONNECT: Direct Procedures
- Technical Bulletin #8 ACF-801 Clarifications
- Technical Bulletin #9r Using the ACF-801 Data Assessment Reports

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<sup>1</sup> To access Technical Bulletins related to the ACF-800 and ACF-801 please visit the following Web site:  
<https://www.acf.hhs.gov/programs/occ/resource/current-technical-bulletins>



## “FUN” DAMENTALS OF CCDF ADMINISTRATION



### OVERVIEW: ACF-400, ACF-401, & ACF-402 ERROR RATE REPORTING

The Improper Payments Information Act of 2002 (IPIA) requires Federal agencies to annually review programs and activities they administer, identify those that may be susceptible to significant improper payments, and submit a report on actions taken to reduce improper payments.

To comply with IPIA, the Final Rule to revise CCDF regulations to provide for the reporting of error rates in the expenditure of CCDF grant funds was published in the Federal Register on September 5, 2007 with an effective date of October 1, 2007.

States conduct the error rate review process and calculate an error rate once every three years on a rotational cycle (see States Reporting Cycle <https://www.acf.hhs.gov/programs/occ/resource/states-by-reporting-cycle>). The Data Collection Instructions detail the methodology to be used to implement the reporting requirement found in the Final Rule. (See [https://www.acf.hhs.gov/sites/default/files/occ/07\\_4308.pdf](https://www.acf.hhs.gov/sites/default/files/occ/07_4308.pdf)). TA is available to those States reporting in the first and subsequent years.

#### Key Dates to Remember

- Submit sampling decisions, fieldwork preparation plan, and assurance on or before October 31 the year before your 402 report is due.
- Submit *Record Review Worksheet* on or before December 31, the year before your 402 report is due.
- Submit *State Improper Authorizations for Payment Report* (ACF-402) on or before June 30, of your required reporting year.

The “*Measuring Improper Authorizations for Payment in the Child Care Program - Improper Authorization for Payment - Data Collection Instructions*” includes three forms which can be found at: <https://www.acf.hhs.gov/programs/occ/resource/program-integrity-and-accountability-improper-payments-error-rate-review>

- Record Review Worksheet (ACF-400)
- Data Entry Form (ACF-401)
- State Improper Authorizations for Payment Report and Instructions (ACF-402)

## Resources

In response to the Improper Payments Elimination and Reduction Act

[http://www.whitehouse.gov/sites/default/files/omb/financial/improper/PL\\_111-204.pdf](http://www.whitehouse.gov/sites/default/files/omb/financial/improper/PL_111-204.pdf) (July 2010), the Office of Child Care has instituted a Program Integrity plan

which offers TA and support to states to increase program accountability and reduce improper payments, fraud, waste, and abuse. The Program Integrity plan can be found

at: <https://www.acf.hhs.gov/programs/occ/resource/program-integrity-and-accountability>

## OVERVIEW OF CCDF REPORTING REQUIREMENTS

	State/Territorial Plan	Financial Report	Child Care Data Reports	Error Rate Reports
<b>Form number</b>	ACF-118	ACF-696	ACF-800 & ACF-801	ACF-400, ACF-401, & ACF-402
<b>Purpose</b>	Plan: Serves as the agreement between the Lead Agency and the Federal Government as to how CCDF programs will be administered in conformance with legislative requirements, pertinent federal regulations, and other instructions and guidelines issued by ACF. Quality Performance Report (QPR) (Appendix I): Captures State/Territory progress on meeting goals reported in Plan, and provides data on the results of quality activities.	States are required to use the ACF-696 to report estimates and expenditures for the Mandatory Fund, the Matching Fund, and the Discretionary Fund. Territories are required to use the ACF-696 to report estimates and expenditures for the Discretionary Fund only.	ACF-800 (Aggregate Data Report): Provides unduplicated annual counts of children and families served through CCDF; and other information. ACF-801(Case-Level Data Report): Provides case-level data on the families and children served during the month of the report, and other demographic information. States may submit a sample or all cases.	States, the District of Columbia, and Puerto Rico are required to measure, calculate, and report improper authorizations for payments as well as identify strategies for reducing future improper authorizations for payments. Sampling Decisions/Fieldwork Preparation Plan ACF-400: Record Review Worksheet ACF-401: Data Entry Form ACF-402: State Improper Authorizations for Payment Report
<b>Report frequency</b>	Plan: Biennially QPR: Annually	Quarterly	ACF-800: Annual ACF-801: Monthly or Quarterly (Grantee's choice)	ACF-400, ACF-401, & ACF-402 are to be completed once every three years for the review process.
<b>Reporting period(s)</b>	Plan: Two-year periods starting with an even-numbered Fiscal Year (FY) (e.g. FY2012 – FY2013, or October 1, 2011 – September 30, 2013) QPR: Federal FY (October 1–September 30)	1. October 1 – December 31 2. January 1 – March 31 3. April 1 – June 30 4. July 1 – September 30	ACF-800: Federal fiscal year (October 1 – September 30) ACF-801: Every month or quarter	Year 1 States: 10/01/09– 09/30/10; Year 2 States: 10/01/10 – 09/30/11; Year 3 States: 10/01/11 – 09/30/12 <i>(Repeat cycle for subsequent years)</i>
<b>Date due</b>	Plan: The July 1 prior to the reporting period QPR: December 31 (three months after end of reporting period)	30 days after end of quarter	ACF-800: December 31 (three months after end of reporting period) ACF-801: For monthly reporting: 90 days after end of month; For quarterly reporting: 60 days after end of quarter	ACF-400: December 31 <sup>st</sup> following end of reporting period ACF-401: March 31 following end of reporting period. (reviews completed) ACF-402: June 30 <sup>th</sup> following end of reporting period
<b>Submission method</b>	Plan and QPR: ACF-118 Electronic Submission site	On-Line Data Collection (OLDC) System	ACF-800: <a href="http://www.acf.hhs.gov/cgi-bin/ccis/acf800.cgi">http://www.acf.hhs.gov/cgi-bin/ccis/acf800.cgi</a> ACF-801: Electronic data files (via secure electronic medium)	<ul style="list-style-type: none"> <li>• Hard copy, or</li> <li>• Email attachment (to ACF Regional Office, by prior arrangement)</li> </ul>
<b>Submit to</b>	Plan and QPR: ACF Regional Office	ACF Regional Office	ACF-800: OCC, Reports Manager (via internet) ACF-801: HHS (via secure electronic medium)	ACF Regional Office



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### CCDF MONITORING AND ENFORCEMENT OVERVIEW

OCC has a fundamental responsibility to be effective stewards of Federal dollars. Working cooperatively with grant-making agencies, like OCC, and the Grantee community, which includes CCDF Grantees, OMB [http://www.whitehouse.gov/sites/default/files/omb/financial/improper/PL\\_111-204.pdf](http://www.whitehouse.gov/sites/default/files/omb/financial/improper/PL_111-204.pdf) leads the development of government-wide policy to assure that grants are managed properly and that Federal dollars are spent in accordance with applicable laws and regulations. OCC, in addition to being proactive in the provision of TA support for systems development and improvement for Grantees, also works in conjunction with our Office of Grants Management to monitor program compliance through audits, and recover misspent funds through violations with penalties and sanctions.

#### Audits

State and Territory CCDF LAs are subject to audits in accordance with OMB Circular A-133 and the Single Audit Act Amendments of 1996. The OMB 2011 Compliance Supplement, Part 4- Health and Human Services [http://www.whitehouse.gov/sites/default/files/omb/assets/OMB/circulars/a133\\_compliance/2011/hhs.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/OMB/circulars/a133_compliance/2011/hhs.pdf) (CFDA 93.575; CFDA 93.596) outlines audit procedures and allowable activities.

#### Penalties

If an LA fails to substantially comply with CCDBG, the CCDF regulations, and the CCDF Plan, HHS may take a disallowance of the improperly expended funds or take a deduction of an amount equal to or less than the improperly expended funds from the administrative portion of the State allotment for the following FY (45 CFR 98.66; 45 CFR 98.92). (Funds misspent in the current FY can be re-budgeted to allowable activities.)

#### Sanctions

In addition to the imposition of penalties, if an LA fails to substantially comply with CCDBG, the CCDF regulations, and the CCDF Plan, HHS may impose sanctions to disqualify the LA from the receipt of further CCDF funding or an assessment of a penalty of not more than 4% of an LA's Discretionary Fund allotment for an FY. (45 CFR 98.92(b))

## Resources

- Grants Management Circulars  
[http://www.whitehouse.gov/sites/default/files/omb/assets/OMB/circulars/a133\\_compliance/2011/hhs.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/OMB/circulars/a133_compliance/2011/hhs.pdf)
- Code of Federal Regulations  
<http://www.gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR&searchPath=Title+45/Subtitle+A/Subchapter+A/Part+98&oldPath=Title+45/Subtitle+A/Subchapter+A&isCollapsed=true&selectedYearFrom=2011&ycord=3607>



Office of Child Care

## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### CHAPTER 4

#### In this chapter ...

- Who is Served by CCDF (Family Eligibility)?
- Who Provides Child Care Services (Provider Eligibility)?
- Direct Services through Certificates and Contracts
- Parental Rights of Choice, Access, and Information
- Restrictions on the Use of Funds
- Health and Safety Standards
- Reimbursement Rates and Family Fees
- Collaborations and Partnerships
- Quality Activities
- State–Tribal Coordination
- Program Integrity and Accountability
- Emergency Preparedness

#### Web Resources for this Chapter...

- Child Care Resources for Disasters and Emergencies  
<https://www.acf.hhs.gov/programs/occ/resource/child-care-resources-for-disasters-and-emergencies>



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### WHO IS SERVED BY CCDF? (FAMILY ELIGIBILITY)<sup>1</sup>

The Child Care and Development Fund (CCDF) serves families with children under the age of 13 (or, if the child is mentally or physically incapable of self-care or is under court supervision, the age may be over 13 and under 19) who meet the following eligibility criteria:

- Children must be citizens or qualified aliens and reside with parents, or individuals acting *in loco parentis*, who are working or participating in education or training activities.
- Family income must be at or below 85% of State median income; however, States have the option to set a lower income threshold in order to target services to certain priority groups of families or children.
- Children receiving or in need of receiving protective services may be eligible for child care services.

At a minimum, CCDF requires Lead Agencies (LAs) to give priority for child care assistance to children with special needs or to families with very low incomes. LAs have the discretion to define “children with special needs” and “children in families with very low incomes.” LAs are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan required under the Individuals with Disabilities Education Act (IDEA)). LAs could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

Under CCDF, Indian children have dual eligibility, meaning the eligibility of Indian children for a tribal program does not affect their eligibility for a State program. A family could be eligible for services from both the State and Tribal CCDF programs if they meet the eligibility criteria of both programs. This does not mean an Indian child can receive

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<sup>1</sup> 45 CFR 98.20, 98.44, 98.80 (d)

duplicative assistance from both a State and a Tribal program for the same expense. States and Tribes have a *mutual* responsibility to coordinate to ensure that duplication of services and expenses does not occur. This coordination can also help to maximize resources.

### Implementation Options – Family Eligibility

States and Territories can make a variety of decisions regarding family eligibility to promote continuity of care for families.

- **Definitions of Working** – LAs have the flexibility to include any work-related activities in its definition of *working*, including periods of job search and travel time to/from work.
- **Definitions of Job Training or Education** - LAs have the flexibility to include any training or education-related activities in its definition of job training or education, including study time and travel time to/from training or education.
- **Definition of Protective Services** – LAs have the flexibility to define protective services. Often, formal child welfare or foster care cases are included in Grantees’ definitions, but LAs may elect to include homeless children, teen parents, etc. in their definition of protective services.
- **Income Exclusions by Type** – LAs may deduct or exclude some types of income when determining eligibility. Common exclusions include Federal or State tax credits; income from scholarships, grants or loans; government benefits (e.g., Temporary Assistance for Needy Families (TANF), Social Security, Supplemental Nutrition Assistance Program benefits); and child support payments.
- **Income Exclusions by Family Member** – LAs can exclude income from certain family members when determining eligibility. Exclusions include income from children younger than 18 in the household and income from teen parents living with parents.
- **Tiered Eligibility** – LAs can establish a two-tier eligibility system that establishes a one-income threshold for initial entry into the CCDF program and a separate income threshold for continued receipt of CCDF.

- **Priority for Services** – LAs can establish additional priority rules to ensure access to services for targeted populations; for example, children in Head Start programs, teen parents, military families, and migrant families. Prioritization of CCDF services is not limited to eligibility determination (i.e., establishment of a waiting list or ranking of eligible families in priority order to be served). LAs may fulfill priority requirements in other ways such as higher payment rates for providers caring for children with special needs or waiving co-payments for families with very low incomes (at or below the Federal poverty level). (658E(c)(3)(B), §98.44)

## Resources

- Continuity of Child Care Services  
<https://www.acf.hhs.gov/programs/occ/resource/im2011-06>
- Disregard of Federal Tax Refunds in Determining CCDF Eligibility  
<https://www.acf.hhs.gov/programs/occ/resource/111-312-states>
- Tribes and States Working Together: A Guide to Tribal-State Child Care Coordination <https://www.acf.hhs.gov/programs/occ/resource/tribes-and-states-working-together-a-guide-to-tribal-state-child-care>



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### WHO PROVIDES CHILD CARE SERVICES? (PROVIDER ELIGIBILITY)<sup>1</sup>

Child care providers who wish to serve families who participate in the CCDF program must be operating legally within the jurisdiction in which they operate. Providers must be licensed or regulated in their jurisdiction under State or Tribal law, or must be *legally exempt* from regulation. For program data reporting purposes, all providers are designated as “Licensed/Regulated” or “CCDF Provider, No License Category Available.”

CCDF regulations define four categories of care:

- **Center-based child care** – Group care provided in a facility outside of the child or provider’s home.
- **Family child care** – Care provided by one caregiver (family child care provider) in a private residence other than the child’s residence.
- **Group home child care** – Care provided by two or more caregivers in a private residence other than the child’s residence.
- **In-home child care** – Care provided in the child’s home.<sup>2</sup>

CCDF requires providers caring for children receiving CCDF to meet the health and safety requirements that address the prevention and control of infectious diseases (including immunizations), building and physical premises safety, and minimum health and safety training appropriate to the provider setting. Certain relative caregivers can be excluded from some or all of these standards.

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<sup>1</sup> 45 CFR 98.2, 98.41

<sup>2</sup> States may define their categories of care somewhat differently than the providers listed above and the regulations do allow for other providers of child care services for compensation that is regulated under State or local law and satisfies State and Federal requirements. 45 CFR 98.2, 98.41

## Implementation Options – Provider Eligibility

LAs make a variety of decisions regarding provider eligibility requirements.

- **Licensing Exemptions by Provider Type** – Some LAs exempt center and home-based providers from licensing requirements. Common exemptions for centers include school-based and/or school-age programs, centers that operate part-time or on a drop-in basis, and centers operated by religious organizations. Common exemptions for family child care home providers include a small number of children (two or less) in care or because all children in care are from one family.
- **Health and Safety Requirements Exemptions** – Approximately two-thirds of States and Territories subject all relative care providers to the same health and safety requirements as those for all other child care providers. A third of States and Territories exempt relative providers from some or all health and safety requirements.

## Resources

- What Providers Should Know About Child Care Assistance for Families: A Targeted Effort to Reach Hispanic Families and Providers  
[https://www.acf.hhs.gov/sites/default/files/occ/provider\\_access.pdf](https://www.acf.hhs.gov/sites/default/files/occ/provider_access.pdf)
- Parental Choice and Quality Improvement Systems  
<https://www.acf.hhs.gov/programs/occ/resource/piq2011-01>
- Background Checks, Health, and Safety Requirements  
<https://www.acf.hhs.gov/programs/occ/resource/program-instruction-ccdf-acf-im-2011-05>
- Equal Treatment Regulation for Faith-Based Organizations  
<https://www.acf.hhs.gov/programs/occ/resource/equal-treatment-regulations-for-faith-based-organizations>



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### DIRECT SERVICES THROUGH CERTIFICATES AND CONTRACTS<sup>1</sup>

LAs must offer child care certificates for services that permit parents to choose from a variety of child care categories, including child care centers, group home care, family child care, and in-home care. LAs also may provide CCDF services through grants or contracts with providers. (658E(c)(2)(A), §98.15(a))

The majority of CCDF funding is spent on child care services provided to eligible children. States have the flexibility to determine the payment mechanism for providing eligible low-income families with assistance. Some States provide subsidies to eligible families through certificates (sometimes referred to as a voucher). Other States may choose to extend contracts and grants to eligible providers. Families who obtain a certificate can use it to purchase the child care of their choice from the full range of available providers that meet the eligibility requirements. Also, depending on the needs of the State and resources available, State grantees may contract with eligible providers to have child care slots available to families who participate in the child care assistance program. Parents can then choose to use a contracted provider or any eligible child care provider who will accept a certificate.

#### Implementation Options – Certificates and Contracts

States and Territories make a variety of decisions regarding use of certificates and contracts.

- **Use of Certificates** – About half of States and Territories require parents to select a provider before a child care certificate is issued. The other half issue a certificate to parents once eligibility is determined and before a child care provider is selected.
- **Use of Grants and Contracts** – About half of States and Territories offer grants or contracts for child care slots in addition to certificates. Common reasons for awarding grants and contracts is to increase the supply of care that is hard to find (e.g., care for children with special needs, care for infants and toddlers, or care

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<sup>1</sup> 45 CFR 98.2, 45 CFR 98.30

during non-traditional hours), or to coordinate child care services with programs such as Head Start, pre-Kindergarten, and after-school programs.

- **Sectarian Purposes and Activities Restriction** – CCDF funds provided under grants or contracts may not be expended for any sectarian purpose or activity, including sectarian worship or instruction. CCDF funds provided through child care certificates may be expended for sectarian purposes of activities, including sectarian worship or instruction provided as part of the child care services.

## Resources

- Continuity of Child Care Services  
<http://www.acf.hhs.gov/programs/occ/law/guidance/current/im2011-06/im2011-06.htm>



## “FUN” DAMENTALS OF CCDF ADMINISTRATION



### PARENTAL RIGHTS OF CHOICE, ACCESS, AND INFORMATION<sup>1</sup>

Parents have the primary influence on their children’s development and are their child’s first and most important teacher. Parents are invaluable partners for working together with child care programs so that they can meet the physical, health, emotional, social, and cognitive needs of the children.

Parents of children participating in the child care program should, to the maximum extent possible, have the opportunity to choose from the full range of eligible provider options for their children’s care. By providing a range of services, the LA’s child care program supports the needs and preferences of families for their children. Once care is chosen, parents must have unlimited access to their children during the provider’s operating hours.

The LA must maintain a record of substantiated parental complaints associated with CCDF programs and services. The LA must also provide parents with consumer education information to help them make informed choices when selecting a child care provider.

#### Implementation Options – Parental Rights of Choice, Access, and Information

LAs make a variety of decisions regarding parental choice.

- **Consumer Education** – Most LAs partner with a variety of agencies to promote access to CCDF services and provide additional help for families to make informed choices about the quality of care provided by various providers. Common partners include child care resource and referral agencies, TANF agencies, public schools, Head Start programs, and religious organizations. LAs may also develop informational brochures that include provider lists showing licensing history and/or Quality Rating and Improvement System (QRIS) ratings, or that address importance of quality and different care options available.

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<sup>1</sup> 45 CFR 98.30-98.34

- **Promoting Access to Families with Limited English Proficiency (LEP)** – Most LAs apply a range of activities to serve families with limited English proficiency, including use of translation services, employing bilingual staff, and translating materials into and delivering training in other languages. LAs may also fund outreach on quality child care and subsidy eligibility targeted to LEP families.

## Resources

- Parental Choice and Quality Improvement Systems  
<http://www.acf.hhs.gov/programs/occ/law/guidance/current/piq2011-01/piq2011-01.htm>
- Limited English Proficiency  
<http://www.acf.hhs.gov/programs/occ/law/guidance/current/pi0107/pi0107.htm>  
\* See also updated guidance from the U.S. Department of Health and Human Services (HHS) Office of Civil Rights at  
<http://www.hhs.gov/ocr/civilrights/resources/specialtopics/lep/policyguidancedocument.html>
- Program Integrity, Financial Accountability, Access to Child Care  
<http://www.acf.hhs.gov/programs/occ/law/guidance/current/pi2010-06/pi2010-06.htm>



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### RESTRICTIONS ON THE USE OF FUNDS<sup>1</sup>

CCDF shall be expended in accordance with Federal requirements and applicable State and local laws, except as superseded by 45 CFR 98.3. CCDF may not be used as the non-Federal share for other Federal grant programs.

For students enrolled in grades 1 through 12, CCDF may not be used for school tuition or for any service provided during the regular school day or that supplants or duplicates the academic program of any public or private school.

Funds provided under grants or contract to providers may not be used for any sectarian purposes. However, child care certificates may be used for sectarian purposes when provided as part of child care services. For example, a parent can use a CCDF certificate/voucher to pay for child care services provided in a church facility, even when part of the child care program includes worship or religious instruction.

For State and local agencies and nonsectarian agencies or organizations, no funds shall be expended for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of any building or facility. However, funds may be expended for minor remodeling, and for upgrading child care facilities to assure that providers meet State and local child care standards, including applicable health and safety requirements. However, funds may be expended for minor remodeling only if necessary to bring the facility into compliance with the health and safety requirements established pursuant to 45 CFR 98.41.

#### Resources

- What Congregations Need to Know About Federal Funding for Child Care  
<https://www.acf.hhs.gov/programs/occ/resource/what-congregations-need-to-know-about-federal-funding-for-child-care>

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<sup>1</sup> 45 CFR 98.54



## “FUN” DAMENTALS OF CCDF ADMINISTRATION



### HEALTH AND SAFETY STANDARDS<sup>1</sup>

Under the Child Care and Development Block Grant Act, LAs have significant responsibility for ensuring the health and safety of children in child care through the State/Territory’s child care licensing system and establishing health and safety standards for children who receive CCDF funds. Child care standards alone cannot guarantee safety or quality in child care settings; however, they are an important component of safeguarding and promoting the health and development of young children.

Health and safety standards must be established by the LA for all four categories of care: child care centers, family child care homes, group child care homes, and in-home child care providers. However, certain relative caregivers (grandparents, great-grandparents, aunts, uncles, and adult siblings living in a residence other than the child’s home) can be exempted from some or all of the standards.

Health and safety standards must address, at a minimum, the areas of prevention and control of infectious diseases; building and physical premises safety; and health and safety training. LAs must certify that health and safety requirements are in place and apply to those who are providing child care to children receiving subsidies; and specify how they enforce the health and safety requirements.

#### Implementation Options – Health and Safety

LAs make a variety of decisions regarding health and safety standards.

- **Health and Safety Requirements Exemptions** – Approximately two-thirds of States and Territories subject all relative care providers to the same health and safety requirements as those for all other child care providers.
- **Enforcement of Health and Safety Requirements** – States and Territories use a variety of strategies to enforce health and safety standards, including unannounced visits, background checks (e.g., child abuse registry checks, criminal background, and fingerprint checks), and reports of serious injuries.

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<sup>1</sup> 45 CFR 98.41

## Resources

- Background Checks, Health and Safety Requirements  
<http://www.acf.hhs.gov/programs/occ/law/guidance/current/im2011-05/im2011-05.htm>
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## “FUN” DAMENTALS OF CCDF ADMINISTRATION



### REIMBURSEMENT RATES AND FAMILY FEES

#### Reimbursement Rates

LAs are required to conduct a market rate survey<sup>1</sup> within two years of the effective date of their currently approved CCDF Plan. A current market rate survey is used to determine the rates (price) charged by child care providers and paid by the families that receive child care services, within a certain geographical area. The objective in determining the market rate is to understand what the general population is being charged for child care services, so that adequate reimbursement rates can be set to allow subsidized families equal access to the full range of child care available to families not receiving child care subsidies. While there is no threshold set for equal access, a benchmark of the 75<sup>th</sup> percentile is suggested for payment rates, allowing subsidized families access to three out of four child care providers or slots in the market.

#### Family Fees

Families are required to pay a portion of the child care fee or family co-payment. Sliding fee scales, defining different parent co-payments based on family size and income, are used to help ensure that the parent fee is affordable. It is suggested that co-payments which are no more than 10 percent of family income would generally be considered affordable.<sup>2</sup> Co-payments may be waived in two circumstances: 1) for families under the poverty level and 2) on a case-by-case basis for families whose children are receiving protective services.<sup>3</sup>

#### Implementation Options – Reimbursement Rates and Family Fees

LAs make a variety of decisions regarding reimbursement rates and family fees.

- **Reimbursement Rates** – While payment rates may not vary based on family’s eligibility status, LAs can establish payment rates that, based on market prices,

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<sup>1</sup> 45 CFR 98.43(b)(2)

<sup>2</sup> 45 CFR 98.43.

<sup>3</sup> 45 CFR 98.42(c), 98.20(a)(3)(ii).

vary based on the age of child, child care setting, number of care hours, and geographic area.

- **Tiered Reimbursement** – LAs can establish tiered reimbursement rates for higher levels of quality, special needs care, non-traditional hour care, and care for infants and toddlers.
- **Family Fees** – Sliding fee scales vary based on income and family size, and also can consider additional factors such as the number of children in care or whether the care is full- or part-time.

### Resources

- Market Rate Surveys <https://www.acf.hhs.gov/programs/occ/resource/pi-2009-02>
- Resource for Federal Poverty Level Guidelines and State Median Income <https://www.acf.hhs.gov/programs/ocs/resource/state-median-income-estimates-for-fy-2012-liheap-program>



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### COLLABORATIONS AND PARTNERSHIPS<sup>1</sup>

LAs are encouraged to coordinate the provision of services with other Federal, State, and local child care and early childhood development programs, including such programs for the benefit of Indian children; with the State/Tribal agency responsible for public health, employment services, public education, and TANF; and, to the maximum extent feasible, with any Indian tribes in the State receiving CCDF funds.

Collaborations and partnerships are important to the success of CCDF programs and can facilitate ways to best meet the program goals for children and families. Key program partners for CCDF programs include Head Start and Early Head Start, preK programs, TANF, child care resource and referral programs, employment services, public health, Tribal CCDF programs, and community educational programs. Over half of States and Territories combine multiple funding streams in an effort to streamline services for families.

#### Implementation Options – Collaborations and Partnerships

States and Territories make a variety of decisions regarding collaborations and partnerships. Collaboration projects involving the Office of Child Care (OCC) include:

- **The Race to the Top Early-Learning Challenge (RTT-ELC)** – The RTT-ELC grant competition focuses on improving early learning and development programs for young children by supporting States’ efforts to: (1) increase the number and percentage of low-income and disadvantaged children in each age group of infants, toddlers, and preschoolers who are enrolled in high-quality early learning programs; (2) design and implement an integrated system of high-quality early learning programs and services; and (3) ensure that any use of assessments conforms with the recommendations of the National Research Council’s reports on early childhood.
- **State Advisory Councils (SAC)** – These councils are authorized by the Head Start Act of 2007. The overall responsibility of SAC is to lead the development or enhancement of a high-quality, comprehensive system of early childhood development and care that ensures Statewide coordination and collaboration among the wide range of early childhood programs and services in the State, including child care, Head Start, IDEA preschool and infants and families programs, and preK programs and services.
- **The Maternal, Infant, and Early Childhood Home Visiting (MIECHV) Programs** – Authorized by Section 511 of Title V, as added by the Affordable Care Act, MIECHV authorizes the award

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<sup>1</sup> 45 CFR 98.2, 98.12, 98.14

grants to Indian Tribes, Tribal Organizations, or Urban Indian Organizations. Home visiting services provided under this grant are meant to improve child and family outcomes focusing on areas such as prenatal, maternal, and infant health; child health and development; parenting skills; school readiness; family socio-economic status; and reducing incidence of child abuse and neglect, injuries, crime, and domestic violence.

- **The Early Head Start for Family Child Care (EHS for FCC) Project** – The EHS for FCC Project was a joint project of OCC and the Office of Head Start to design, implement, and evaluate a replicable framework that supports a partnership between Early Head Start and family child care. This project aimed to increase quality for low-income children in family child care homes by leveraging comprehensive services that include health and social services.

### Resources

- Early Childhood Education, Financial Stability, and Asset Building Strategies for Families with Young Children <http://www.acf.hhs.gov/programs/occ/law/guidance/current/im2011-04/im2011-04.htm>
- Child Welfare and Child Care Partnerships [http://www.acf.hhs.gov/programs/occ/law/guidance/current/im\\_child\\_welfare/im\\_child\\_welfare.htm](http://www.acf.hhs.gov/programs/occ/law/guidance/current/im_child_welfare/im_child_welfare.htm)
- Cross System Collaboration: A Fresh Look at Working Together <https://www.acf.hhs.gov/programs/occ/resource/cross-system-collaboration-a-fresh-look-at-working-together-0>
- Using TANF to Fund Childhood Education <https://www.acf.hhs.gov/programs/occ/resource/program-instruction-tanf-acf-pi-2005-01>
- Race to the Top–Early Learning Challenge (RTT-ELC) <http://www2.ed.gov/programs/racetothetop-earlylearningchallenge/index.html>
- State Advisory Council (SAC) <https://www.acf.hhs.gov/programs/ecd/programs/state-advisory-councils>
- Maternal, Infant, and Early Childhood Home Visiting (MIECHV) <https://www.acf.hhs.gov/programs/ecd/programs/home-visiting>
- Early Head Start for Family Child Care (EHS for FCC) <http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/ehsnrc/Early%20Head%20Start/ehs-fcc>



## “FUN” DAMENTALS OF CCDF ADMINISTRATION



### QUALITY ACTIVITIES<sup>1</sup>

LAs are required to spend at least 4% of their CCDF allocation on quality activities. In addition, Federal appropriations law has targeted portions of CCDF funds for quality improvement including services for infants and toddlers, school-age child care, and for child care resource and referral services. States and Territories undertake a variety of initiatives to improve the availability and quality of child care.

One of the key goals for CCDF is helping more children from low-income families access higher quality care. LAs have the flexibility to consider its goals and strategic plans for a child care quality improvement system for all families, not just those receiving assistance under CCDF. Starting with Fiscal Year 2012–13 CCDF Plans, CCDF administrators are asked to conduct a self-assessment of the status of quality efforts in their programs and to identify goals for making progress. At the end of 2012 (and annually after), LAs will be asked to report on their goals using the Quality Performance Report discussed in Chapter 3 of the CCDF Plan.

#### Implementation Options – Quality Activities

Quality investments and support systems to promote continuous quality improvement of both programs and the staff who work in them are a core element of CCDF. OCC is dedicated to creating both pathways to excellence for child care programs through program quality activities and pathways to an effective, well-supported child care workforce through professional development systems and workforce initiatives.

#### Key elements for systems of quality in early childhood programs

- **Program standards** – expectations for quality, or quality indicators, which identify different levels of and pathways to improved quality, specifically those that build upon and go beyond minimum health and safety requirements.
- **Supports to programs to improve quality** – activities such as technical assistance (TA) and consultation services for programs to assist in meeting child care quality improvement standards.

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<sup>1</sup> 45 CFR 98.51

- **Financial incentives and supports** – the types of monetary supports offered to programs in meeting and sustaining licensing and QRIS or other child care quality improvement standards for programs.
- **Quality assurance and monitoring** – the ways that the LA measures program quality for the purposes of its QRIS or other quality improvement system and the methods for measuring that the child care quality improvement standards for programs are met initially and maintained over time.
- **Outreach and consumer education** - the strategies used to promote the child care quality improvement standards to parents, programs, and the general public.

### Key elements for workforce systems

- **Core Knowledge and Competencies** – the expectations for what the workforce should know (content) and be able to do (skills) in their role working with and/or on behalf of children and their families.
- **Career Pathways (or Career Lattice)** – the options and sequence of qualifications and ongoing professional development to work with children.
- **Professional Development Capacity** – the capability of the higher education system and training and TA system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children.
- **Access to Professional Development** – the degree to which practitioners are made aware of, and receive supports and assistance to take advantage of, professional development opportunities.
- **Compensation, Benefits, and Workforce Conditions** – any financial supports provided to practitioners for participating in and completing education or training or for increasing compensation.

### Resources

- Parental Choice and Quality Improvement Systems  
<http://www.acf.hhs.gov/programs/occ/law/guidance/current/piq2011-01/piq2011-01.htm>



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### STATE-TRIBAL COORDINATION<sup>1</sup>

Over 500 federally recognized Indian Tribes, Alaska Native Villages, and a Native Hawaiian organization receive CCDF funds directly or through consortium arrangements. Indian children are dually eligible to receive services from a Tribal or State CCDF program. With few exceptions, Tribal CCDF LAs are located in rural, economically challenged areas. In these communities, the CCDF program plays a crucial role in offering child care options to parents as they move toward economic self sufficiency.

The CCDF regulations provide significant flexibility for Tribes to design and administer their programs in accordance with the unique needs and challenges in their communities. Recognizing that many smaller Tribes do not have the infrastructure to support certain CCDF requirements, OCC exempts these Tribal grantees from two key provisions. First, unlike the States and large Tribes, exempt Tribes are not required to spend at least 4% of their CCDF funds on activities to promote child care quality. Second, exempt Tribes are not required to operate a certificate (voucher) program. The 1998 CCDF regulations (45 CFR Parts 98 and 99) set the exempt/nonexempt threshold at \$500,000. Therefore, a Tribe with an annual CCDF allocation of \$500,000 or greater is considered nonexempt and must operate a certificate program and meet the 4% quality requirement.

Unlike States, Tribes may use their CCDF funds to construct or renovate child care facilities, subject to the Administration for Children and Families’ approval of an application for construction and major renovation application.

#### Native Language and Culture

There is a strong emphasis on traditional culture and language in Tribal child care settings, which is usually reflected in a Tribe’s CCDF program activities. For example, in many Tribal communities, parents place their children with Tribal child care providers or relative providers, where the child’s heritage, culture, and native language will be supported. A 1998 HHS Office of the Inspector General (OIG) report on Tribal child care

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<sup>1</sup> 45 CFR 98.12, 98.80

found that most Tribal families prefer to have neighbors and relatives care for their children.

### Coordination with Tribes

The CCDF statute and regulations require CCDF LAs to:

- Consult with appropriate representatives of local government.
- Coordinate services with other Federal, State, and local child care and early childhood development programs, including those serving Indian children.
- Coordinate with other State and Tribal agencies responsible for public health, employment, education, and TANF.

These State-Tribal child care collaborations have increased greatly over the past few years, in part due to increased TA and support to both State and Tribal CCDF administrators on this topic. Both States and Tribes have described a number of ways they are coming together to provide services and supports. Examples of State/Tribal child care coordination and collaboration include:

- Joint planning and policymaking, especially as related to the establishment of reimbursement rates, sliding fee scales, and eligibility requirements.
- Child care subsidies and dual enrollment.
- Development of Early Learning Guidelines and Quality Rating and Improvement System.
- Providing child care resource and referral services.
- Child care licensing and monitoring.
- Training and professional development.
- Grant and funding opportunities.

### Resources

- Tribes and States Working Together: A Guide to Tribal-State Child Care Coordination <https://www.acf.hhs.gov/programs/occ/resource/tribes-and-states-working-together-a-guide-to-tribal-state-child-care>
- CCDF Indian Children Dual Eligibility <https://www.acf.hhs.gov/programs/occ/resource/piq-acyf-piq-cc-97-01>



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### PROGRAM INTEGRITY AND ACCOUNTABILITY

The CCDF block grant allows maximum flexibility for States to set critical policies such as establish eligibility criteria, define administrative structures that allow maximum choice for parents, and establish fiscal management approaches.

In order to promote accountability and program integrity, OCC has worked to emphasize transparency, public participation, coordination, and the importance of reducing improper payments and fraud, while at the same time promote consideration for impacts on eligible families seeking benefits.

In response to the Improper Payments Elimination and Reduction Act (July 2010), OCC has instituted a Program Integrity plan which offers TA and support to States to increase program accountability and reduce improper payments, fraud, waste, and abuse.

#### Implementation Options – Strengthening Program Integrity

- **CCDF Plan and Annual Reporting** – Submission of the biennial CCDF Plan (ACF-118) includes reporting of LA actions to prevent, measure, reduce, and collect improper payments. LAs must have systems in place to document that CCDF funds have been spent in compliance with the law and the approved Plan. LAs must also submit quarterly ACF-696 Financial Reports indicating the status of expenditures and uses of funds. LAs also submit administrative data reports on the number of children served and the characteristics of services and recipients (ACF-800 & ACF-801).
- **Improper Payments Error Rate Review Process** – Effective October 1, 2007, a Final Rule revised CCDF regulations requiring all States, Puerto Rico, and the District of Columbia to report on error rates in the expenditure of CCDF grant funds once every three years on a rotational cycle. OCC works with LAs to conduct triennial case record reviews to identify and reduce administrative errors in the CCDF program.
- **Self-Assessment of Internal Controls** – OCC has created a Self-Assessment of Internal Controls tool to help States better analyze risk and strengthen internal

controls to prevent improper payments. This assessment is not mandatory but does assist States in reviewing systems and identifying weaker areas in that system.

- **Audits** – LAs are required to have an audit conducted at the close of each program period in accordance with the Office of Management and Budget Circular A-133 and CCDF regulations at 45 CFR § 98.65. The LA must report findings to OIG.

## Resources

- Program Integrity, Financial Accountability, Access to Child Care  
<http://www.acf.hhs.gov/programs/occ/law/guidance/current/pi2010-06/pi2010-06.htm>
- Data Collection Forms and Instructions  
[http://www.acf.hhs.gov/programs/occ/ccdf/ipi/final\\_rule.htm#data\\_collection](http://www.acf.hhs.gov/programs/occ/ccdf/ipi/final_rule.htm#data_collection)
- Improper Payments Information Technology Guide  
[http://www.acf.hhs.gov/programs/occ/ccdf/ipi/it/it\\_guide.htm](http://www.acf.hhs.gov/programs/occ/ccdf/ipi/it/it_guide.htm)



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### EMERGENCY PREPAREDNESS

A primary goal of OCC is to help ensure early childhood programs support children's healthy growth and development even in the event of a major disaster or emergency. Child care can be a critical human service needed to help protect the safety of children and support the stabilization of families after a disaster. Child care prevents children from being left alone or in unsafe environments and can help expedite recovery efforts by ensuring that children are safe while parents visit damaged property, access public benefits, and make other efforts to rebuild their lives.

#### Implementation Options – Emergency Preparedness

- **Emergency Preparedness Plans for Child Care** – Many States, Territories, and Tribes maintain emergency preparedness plans for child care, and maintain a continuity of operations plan to ensure continuity of services to families and providers. Several States, Territories, and Tribes have created guidance and regulations for child care providers regarding various aspects of emergency preparedness and response.
- **State Training and Resources** – LAs provide training and resources to the child care community and planning for a coordinated, comprehensive response to any large-scale crisis which may include establishing temporary child care facilities, assessing damage and impact to child care providers, and facilitating families' access to child care.

## Resources

- Emergency Preparedness and Response Planning for Child Care  
<https://www.acf.hhs.gov/programs/occ/resource/im-2011-01>
- Federal Emergency Management Agency Guidance: Reimbursement of Child Care Services During Federally Declared Disasters and Emergencies  
<https://www.acf.hhs.gov/programs/occ/resource/im-2010-01>
- Flexibility in Spending CCDF Funds in Response to Federal or State Declared Emergency Situations <https://www.acf.hhs.gov/programs/occ/resource/im-cc-05-03>
- Emergency Preparedness Checklist for CCDF Administrators  
<https://www.acf.hhs.gov/programs/occ/resource/emergency-preparedness-checklist-for-ccdf-administrators>



Office of Child Care

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### CHAPTER 5

#### In this chapter ...

- Overview of Technical Assistance
- Child Care Technical Assistance Network Partner List

#### Web Resources for this Chapter...

- Office of Child Care Training and Technical Assistance  
<https://www.acf.hhs.gov/programs/occ/ta>



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### OVERVIEW OF TECHNICAL ASSISTANCE

Federal regulations [45 CFR Section 98.60(b)(1)] provide a set-aside of one-fourth of one percent (.25%) of the Child Care and Development Fund (CCDF) for the purpose of providing technical assistance (TA) to CCDF grantees. In Fiscal Year 2012, approximately \$12 million was appropriated to meet the TA needs of State, Territorial, and Tribal CCDF grantees. The Office of Child Care (OCC) provides a variety of TA targeted at supporting CCDF administrators and their staff in identifying and implementing effective policies and practices that build integrated child care systems that help vulnerable families find high quality child care and promote the healthy development of young children.

OCC's TA services are provided through the coordinated efforts of a network of contractors and partners that comprise the Child Care Technical Assistance Network (CCTAN). Each member of the CCTAN provides TA to help States, Tribes, and Territories administer CCDF funds and improve the quality of early care and education and child care service. Projects in the CCTAN vary in scope and provide TA across the full spectrum of child care topics, ages, and care settings. The projects are subject to change as OCC's TA activities change, expand, and/or conclude.

#### Accessing TA

OCC has redesigned its TA system to better support CCDF Lead Agency (LA) needs. The new focus of TA is assisting LAs to reach the goals they set in their biennial CCDF plans. Additionally, these plan goals are strategically aligned with OCC's *Pathways and Partnerships for Child Care Excellence* work plan. TA projects specialize in core areas, including the following new projects: the National Center on Child Care Subsidy Innovation and Accountability, the National Center on Child Care Quality Improvement Systems, and the National Center on Child Care Professional Development Systems and Workforce Initiatives (jointly funded with the Office of Head Start [OHS]). Regional Offices (ROs) serve as the point of contact for Grantee-level and Regional TA. LAs should contact the RO for TA requests.



## CHILD CARE TECHNICAL ASSISTANCE NETWORK PARTNER LIST

*OCC administers CCDF, a multibillion-dollar Federal and State partnership to support access to high-quality child care for working families. OCC helps States, Territories, and Tribes administer their CCDF programs through program support, policy guidance, TA, and research. The following CCTAN Partners are providing TA to improve the quality of early care and education (ECE) and school-age care and are helping the States, Territories, and Tribes reach their CCDF plan goals.*

### **Center on the Social and Emotional Foundations for Early Learning**

The Center on the Social and Emotional Foundations for Early Learning (CSEFEL) promotes the social-emotional development and school readiness of young children from birth to age 5. CSEFEL serves as a national resource center to disseminate research findings and evidence-based practices to early childhood (EC) programs across the country and develops user-friendly materials to help EC educators meet the needs of the growing number of young children with challenging behaviors and mental health needs.

*Phone: (615) 322-3978 or (866) 433-1966, E-mail: [csefel@uiuc.edu](mailto:csefel@uiuc.edu), Web site: <http://www.vanderbilt.edu/csefel>*

*Grantee: Vanderbilt University (by cooperative agreement from OCC and OHS), Project Director: Mary Louise Hemmeter, Ph.D.*

### **Child Care & Early Education Research Connections**

Child Care & Early Education *Research Connections* (RC) promotes high-quality research in child care and early education and the use of research findings in policymaking. This easy-to-use Web site offers a free, comprehensive, and up-to-date collection of scholarly research, policy briefs, government reports, data, and instruments from a wide range of disciplines and sources. Interactive tools allow users to refine searches, download full text documents, build customized tables, and analyze research data on line. RC also compiles bibliographies, develops issue briefs, synthesizes research on key topics, and hosts data-training workshops.

*Phone: (646) 284-9600, E-mail: [contact@researchconnections.org](mailto:contact@researchconnections.org),*

*Web site: [www.researchconnections.org](http://www.researchconnections.org)*

*Grantee: National Center for Children in Poverty, Project Director: J. Lee Kreder, Ph.D.*

### **Child Care Communications Management Center**

The Child Care Communications Management Center (CMC) coordinates logistical and communication services on behalf of OCC. CMC provides onsite TA delivery at OCC Central Office and RO meetings and events, such as the annual State and Territory Administrators Meeting and Annual Meeting of the Child Care Policy Research Consortium, and provides ongoing support for the development and distribution of OCC TA tools and materials, including interactive CD-ROMs, reports, and brochures. Additionally, CMC assists with the planning and coordination of TA delivery by OCC Regional Program Managers, State systems specialists, and other CCTAN Partners via Web-based technology, audioconference calls, exhibits, videoconferences, and onsite training and TA support.

*Phone: (240) 399-8725, E-mail: [occinfo@occ-cmc.org](mailto:occinfo@occ-cmc.org),*

*Contractor: BLH Technologies, Inc., Project Director: Rose Salton*

### **Healthy Child Care America**

The Healthy Child Care America (HCCA) program is coordinated by the American Academy of Pediatrics' Early Education and Child Care Initiatives and is funded by an intra-agency agreement with OCC and the Maternal and Child Health Bureau, U.S. Department of Health and Human Services. This collaborative effort of health professionals and child care providers works to improve the health and safety of children in child care and provides the information and support necessary to increase children's access to health services and safe, nurturing, out-of-home ECE settings. HCCA also strives to increase pediatricians' participation and effectiveness in supporting high-quality child care and in promoting children's health and well-being.

*Phone: (888) 227-5409, E-mail: [childcare@aap.org](mailto:childcare@aap.org), Web site: [www.healthychildcare.org](http://www.healthychildcare.org)*

*Grantee: American Academy of Pediatrics, Project Director: Jeanne VanOrsdal*

### **National Center on Child Care Data and Technology**

The National Center on Child Care Data and Technology supports State, Territory, and Tribal CCDF grantees in collecting, managing, analyzing, and reporting child care administrative data. The Center's TA efforts are available to help build or enhance grantees' capacity to improve the quality of administrative data and are provided

through a toll-free help line; trainings at national conferences and Regional Office events; customized, onsite TA activities; and specialized data tools.

*Phone: (877) 249-9117, E-mail: [ncdt@childcaredata.org](mailto:ncdt@childcaredata.org), Web site: TBD*

*Contractor: General Dynamics Information Technology, Project Director: Helen Papadopoulos*

### **National Center on Child Care Professional Development Systems and Workforce Initiatives**

The National Center on Child Care Professional Development Systems and Workforce Initiatives will build State capacity to produce qualified child care professionals across age ranges, program settings, as well as the EC and school-age sectors. All TA activities will be integrated into a TA plan customized for each CCDF lead agency based on its plan goals and in partnership with all CCTAN Partner projects. OHS is a co-funder and serves as a key partner. In addition, the Center will convene a national consortium to assess and establish equivalencies and to promote the reciprocity of EC education credentials across States and Territories.

*Phone: (202) 638-1144, E-mail: [pdwcenter@zerotothree.org](mailto:pdwcenter@zerotothree.org), Web site: TBD*

*Contractor: ZERO TO THREE, Project Director: Sarah LeMoine*

### **National Center on Child Care Quality Improvement**

The National Center on Child Care Quality Improvement delivers TA to support State and Territory CCDF grantees in their efforts to develop and enhance quality improvement efforts, including quality rating and improvement systems, which are built on a foundation of strengthening licensing and health and safety standards. Expert staff members work with CCDF grantees to help them reach their State and Territory plan quality goals. They also identify and share research-based promising practices and work with CCTAN

Partner staff and OHS personnel to address EC-related cross-sector system issues and to identify knowledge gaps and leading-edge questions.

*Phone: (703) 225-2296, E-mail: [occqualitycenter@icfi.com](mailto:occqualitycenter@icfi.com), Web site: TBD*

*Contractor: ICF International, Inc., Project Director: Julie Shuell*

### **National Center on Child Care Subsidy Innovation and Accountability**

The National Center on Child Care Subsidy Innovation and Accountability provides technical support to CCDF lead agencies to help focus their efforts on subsidy administration and strong accountability practices in a manner that supports providing quality child care services. The Center will promote continued progress toward

innovation and improvement in child care subsidy systems and other CCDF-supported programs.

*Phone: (301) 881-2590, x273; E-mail: [ncccsia@wrma.com](mailto:ncccsia@wrma.com);*

*Web site: <http://www.acf.hhs.gov/programs/occ/ccdf/ipi/ipi.htm>*

*Contractor: Walter R. McDonald & Associates, Inc., Project Director: Carol Pearson, Ph.D.*

### **National Center on Tribal Child Care Implementation and Innovation**

The National Center on Tribal Child Care Implementation and Innovation supports Tribal communities in their efforts to coordinate EC and school-age care delivery by promoting improvements in child care delivery systems. Targeted TA services support more than 539 Federally recognized Tribes, either directly or through Tribal consortia. These TA activities include a peer learning and leadership network, a biannual national conference, an annual Tribal CCDF administrators training event, Regional TA events, specialized trainings, consultations with program administrators, and the promotion of Tribal-State collaboration and linkages between States, Tribes, and local EC and school-age care education programs. Distance-learning technologies, including webinars, and a toll-free information and referral line will enhance TA support options.

*Phone: (800) 388-7670, E-mail: [TriCEN@cditeam.org](mailto:TriCEN@cditeam.org), Web site: TBD*

*Contractor: Community Development Institute, Project Manager: Linda Kills Crow*

### **State Child Care Systems Specialist Network**

The State Child Care Systems Specialist Network delivers expert consultation, TA support, and informational products to support Administration for Children and Families' priorities and State and Territory goals. These experts work collaboratively with the 10 OCC Regional Program Managers and State and Territory CCDF lead agencies to develop customized TA plans to help grantees reach CCDF plan goals and meet Federal reporting and accountability requirements. They provide TA support and informational products to CCDF lead agencies via collaborative cross-system work with the OCC centers as well as ECE and school-age partners, including programs administered by Early Head Start, OHS, and the U.S. Department of Education.

*Phone: (703) 225-2250, E-mail: [occtanetwork@icfi.com](mailto:occtanetwork@icfi.com), Web site: TBD*

*Contractor: ICF International, Inc., Project Director: Rose Ribeiro*



## **“FUN”DAMENTALS OF CCDF ADMINISTRATION**



### **CHAPTER 6**

#### **In this chapter ...**

- Child Care Research Overview

#### **Web Resources for this Chapter...**

- Office of Planning, Research and Evaluation  
<http://www.acf.hhs.gov/programs/opre/project/projectIndex.jsp#cc>



## “FUN”DAMENTALS OF CCDF ADMINISTRATION



### CHILD CARE RESEARCH OVERVIEW

The Administration for Children and Families (ACF) has a long history in child care research, with child care studies that date back to the early 1970s. These early studies laid the foundation for ACF’s current child care research agenda, which is designed to help decisionmakers in crafting child care policies that support positive outcomes. It is also intended to increase the capacity for child care research at the national, State, and community levels and to promote linkages among research, policy, and practice.

Beginning in Fiscal Year 2000, Congress authorized ACF to spend approximately \$10 million annually from the Child Care and Development Fund for research, demonstration, and evaluation. ACF’s Office of Child Care (formerly the Child Care Bureau) administered these research activities until 2007, when responsibility shifted to the ACF Office of Planning, Research and Evaluation (OPRE). These research efforts have increased knowledge about the efficacy of child care subsidy policies and programs in supporting employment and self-sufficiency outcomes for parents, and in providing positive learning and school readiness outcomes for children.

#### Child Care Policy Research Consortium

The national Child Care Policy Research Consortium (CCPRC) consists of grantees and contractors who have worked on research projects and partnerships funded by ACF. The purpose of this consortium is to help ACF increase national capacity for sound child care research, identify and respond to critical issues, and link child care research with policy and practice. The consortium meets annually to provide an opportunity for participants to highlight new research activities and findings, work collaboratively on important technical issues, consider emerging research and policy concerns, build cross-cutting partnerships and peer relationships, and produce new ideas for the next generation of research. Papers, posters, presentations, and discussion summaries from the meetings are posted on the Research Connections Web site <http://www.childcareresearch.org/>.

#### Child Care and Early Education Research Connections

Launched in 2004, *Research Connections* is a Web-based, interactive database of research documents and public use data sets for conducting secondary analyses on topics related to early care and education. *Research Connections* conducts literature

reviews; develops and disseminates materials designed to improve child care policy research; provides technical assistance to researchers and policymakers; synthesizes findings into policy research briefs; and provides support to CCPRC. Access the site at: <http://www.researchconnections.org/>

### **Child Care Research Grants and Contracts**

For descriptions and information regarding recent and ongoing child care research projects, see the OPRE Web site <http://www.acf.hhs.gov/programs/opre/>. Additional findings and reports from past child care research projects are available on the Research Connections <http://www.childcareresearch.org/> Web site.

