



“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



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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.



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RESPONSIBILITIES OF CCDF LEAD AGENCIES¹

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.

¹ 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.



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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>



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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>.



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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 31st, April 30th, July 31st, and October 31st.

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

- *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.

¹ 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.

If Source of Funds is FY 2012:	Must be Obligated by End of:	And Liquidated by the End of:
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.



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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. For more information visit:

ACF-800 Technical Bulletins:¹

- 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

¹ 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>



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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). 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 (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
Form number	ACF-118	ACF-696	ACF-800 & ACF-801	ACF-400, ACF-401, & ACF-402
Purpose	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
Report frequency	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.
Reporting period(s)	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>
Date due	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 st following end of reporting period ACF-401: March 31 following end of reporting period. (reviews completed) ACF-402: June 30 th following end of reporting period
Submission method	Plan and QPR: ACF-118 Electronic Submission site	On-Line Data Collection (OLDC) System	ACF-800: http://www.acf.hhs.gov/cgi-bin/ccis/acf800.cgi ACF-801: Electronic data files (via secure electronic medium)	<ul style="list-style-type: none"> • Hard copy, or • Email attachment (to ACF Regional Office, by prior arrangement)
Submit to	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



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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 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 (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
- 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>