

CHILD CARE AND DEVELOPMENT FUND

for

TRIBE: _____

FFY 2017-2019



This Plan describes the CCDF program to be administered by the Tribes for the period 10/1/2016 – 9/30/2019. As provided for in the applicable statutes and regulations, the Tribal Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described herein.

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

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CCDF Plan Effective Date: October 1, 2016

Amended Effective Date: [Insert Date as Amended]



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Amended Effective Date: [Insert Date as Amended]



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Tips for Completing the Tribal CCDF Plan Preprint Preprint Design

The Tribal CCDF Plan Preprint is organized into seven sections covering broad topic areas:

- Section 1 identifies the Tribe or Tribal Organization applying for CCDF funds, including how that applicant entity delegates the administration of the CCDF program, how it develops its CCDF Plan, and how it plans to coordinate CCDF-funded services with other relevant entities;
- Section 2 details how the grantee decides who is eligible for CCDF-funded services, the means by which parents are informed and can apply for services, how the grantee gives priority to children with special needs, and how family co-payments are determined;
- Section 3 describes CCDF-funded services available, how assessment of market rates is determined, how payment rates for services are computed, how timely payments are made to providers, and the strategies used to increase the supply and quality of services;
- Section 4 identifies what health and safety standards the grantee applies to which categories of providers, what plans the grantee has for disaster preparedness, how policies and procedures are monitored and enforced, what type of criminal background checks are required, and what exemption of health and safety requirements is available to relative providers;
- Section 5 details the grantee's goals for quality improvement, describes professional development opportunities and strategies for retention of providers, lists types of consumer information offered to parents, and other quality improvement activities;
- Section 6 describes the program's integrity and accountability measures; and
- Section 7 identifies whether a grantee has policies and procedures for conducting a child count, how the grantee intends to use discretionary targeted funds, and whether the grantee intends to use CCDF funds for construction/renovation.
- Section 8 is an optional abbreviated Plan that Tribes or Tribal Consortia receiving annual CCDF allocations of less than \$250,000 may choose to complete and submit. Tribes that select this option are not required to complete Section 1-7 of the Plan.

Within each section, questions are further grouped by topic to make the Preprint easier to read and complete.

When a question requires a "yes" or "no" response, the order of the *yes/no* options changes depending on the question so that the simplest response is first and the more complex response follows. For example, if a "yes" response would require an explanation and a "no" response would not, the "no" option will appear first. Similarly, if a "no" response has additional sub-questions that need to be answered but a "yes" response does not, the "yes" option would appear first. This structure is used to simplify the Plan development process by allowing the



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person completing the Plan Preprint to skip over response choices that are not relevant; it is **NOT** designed to imply that the first answer is the correct answer or the default answer. All questions should be answered in the way that best reflects what is actually happening in the Tribal CCDF program.

Guidance boxes are provided after questions that require additional clarification. These boxes may include definitions of unfamiliar terms or phrases, suggestions for details to include in a narrative response, explanations of Office of Child Care (OCC) policy on the topic, and/or references to related questions. It is important to read the relevant Guidance box before answering each question.

Where appropriate, instructions are included that allow Tribes/Tribal Organizations to skip over certain optional questions that do not apply.

Technical Assistance

Tribes and Tribal Organizations should contact the appropriate OCC Regional Office for guidance and support in completing the Tribal CCDF Plan Preprint. Contact information for the OCC Regional Program Managers can be found online at <https://www.acf.hhs.gov/programs/occ/resource/regional-child-care-program-managers>.



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1 Define CCDF Leadership and Coordination with Relevant Systems

This section provides information on how the CCDF program is administered, including the designated Tribal Lead Agency and the administrative structure. It also addresses who was consulted in the development of the Tribal CCDF Plan and how the Tribal Lead Agency plans to coordinate CCDF services with other entities.

1.1 Tribal CCDF Applicant

1.1.1 Tribe (i.e., the official name of the Tribe as listed in the Federal Register) or Tribal Consortium Applicant

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

Note: ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals, and disallowance notifications to the designated contact identified here. (658D(a))

1.1.2 Are you a Tribal Consortium?

- No. (skip to Section 1.2)
- Yes. **Provide a list of the participating member Tribes/Alaska Native Villages and include demonstrations** from the consortium's participating Tribes indicating that the consortium has the authority to seek funding on their behalf. Examples of demonstrations include a Tribal Resolution, a letter signed by the Tribal Leader, or another official document from the Tribal/Village government. (98.80(c)(1), 98.81(b)(8)(i))

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

The list is provided as Attachment #: _____

The demonstrations are provided as Attachment #: _____

Note: If there is any change in the consortium membership, the Tribal Lead Agency must notify ACF through an amendment to the Plan.



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- 1.1.3 A Tribal consortium must describe how it coordinates services on behalf of each of its participating member Tribes/Villages. Include a brief summary of how the consortium is coordinating services (including direct services) on behalf of each participating member. (98.81(b)(8)(ii),98.83(c)(1))

Guidance: The description should address how child care services are provided to **each** member Tribe/Village. The description should reference all Tribal CCDF-Operated Centers that receive CCDF funds as part of the consortium and those should be listed in the table in Section 3.1.2.

Describe: _____

1.2 **Designated Tribal Lead Agency**

The Tribe or Tribal consortium will designate an agency to represent the Tribe/consortium as the Tribal CCDF Lead Agency. This designated agency agrees to administer the Tribal CCDF program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the attached assurances and certifications. (Appendix 1). (658D, 658E(c)(1))

- 1.2.1 Identify the Lead Agency designated by the Tribe or Tribal consortium to administer the CCDF program.

- a) Name of Tribal Lead Agency: _____
b) Web Address for Tribal Lead Agency (if any): _____

- 1.2.2 Who is the Tribal CCDF Administrator?

Identify the CCDF Administrator designated by the Tribal Lead Agency, the day-to-day contact, or the person with responsibility for administering the Tribal CCDF program. If there is more than one designated contact with shared responsibility for administering the CCDF program, please identify the co-administrator/assistant administrator and include contact information.

Note: ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here.

- a) Contact Information for the Tribal CCDF Administrator:

Name of Tribal CCDF Administrator: _____
Title: _____
Mailing address: _____
Physical address (if different than mailing address): _____
Telephone Number: (_____) _____ - _____ Ext: _____
Fax Number: (_____) _____ - _____
Email Address: _____



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b) Contact Information for Tribal CCDF Co-Administrator/Assistant Administrator (if applicable):

Name of Tribal CCDF Co-Administrator/Assistant Administrator: _____

Title: _____

Telephone Number: (_____) _____ - _____ Ext: _____

Email Address: _____

Describe the role of the Co-Administrator/Assistant Administrator: _____

1.3 Administration through Contracts or Agreements

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

- The Tribal Lead Agency has a written agreement with another Tribal department to operate Tribal child care centers or to conduct background checks, etc.;
- The Tribal Lead Agency may contract with the local child care resource and referral agency to operate the Tribe's child care program (including determining family eligibility and issuing payments to child care providers or providing high quality activities).

1.3.1 Will the Tribal Lead Agency **directly** administer and operate the CCDF program? (98.16(c)(1))

Guidance: This question does not pertain to the demonstrations referenced in Section 1.1.2 between a consortium and its participating/constituent member Tribes/Villages.

Yes, the Tribal Lead Agency will directly administer and operate **all** aspects of the CCDF program. (skip to Section 1.4)

No, the Tribal Lead Agency **will not** directly administer and implement all aspects of the CCDF program.

a) List the names of those entities that will administer/operate aspects of the CCDF program and describe which aspects of the CCDF program they will administer/operate:

b) Describe how the Tribal Lead Agency will maintain overall control of the CCDF-funded program components administered and operated by the entities listed above: _____

c) Attached copies of the contracts or agreement as Attachment # _____



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1.4 Consultation in the Development of the Tribal CCDF Plan

In the development of the Tribal CCDF Plan, the Tribal Lead Agency is required to consult with representatives of general purpose local/Tribal government. (658D(b)(2), 98.14(b)) Tribal Lead Agencies are also required to conduct a public hearing to provide the public an opportunity to comment on the provision of the child care services under the CCDF Plan.

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

1.4.1 Check the boxes to describe how the Tribal Lead Agency consulted with representatives of local/Tribal government, on the development of the Plan:

- Regular meetings:
- Conference Calls:
- Emails:
- Working committees:
- Other: Describe:

1.4.2 Did the Tribal Lead Agency consult with any other Tribal or non-Tribal organizations or entities on the development of the Plan?

- No.
- Yes. Describe: _____

1.4.3 Tribal Lead Agencies are required to conduct a public hearing to provide the public an opportunity to comment on the provision of child care services under the CCDF Plan. (658D(b)(1)(C), 98.14(c)(1-3), 98.16(e))

Guidance: The Tribal Lead Agency must conduct at least one public hearing prior to the submission of the Tribal CCDF Plan, but no earlier than January 1, 2016. Lead Agency must provide a notice of the hearing throughout the Tribal Lead Agency’s service area. This notice must be provided no later than 20 days prior to the date of the hearing. Tribal Lead Agencies must make the contents of the Plan available to the public in advance of the hearing. (98.14(a)(c)(3))

Describe the Tribal Lead Agency’s public hearing process:

- a) Date(s) of public hearing notice(s) (*at least 20 days prior to the public hearing*): _____
- b) Date(s) of public hearing(s) (*no earlier than January 1, 2016*) : _____
- c) Location(s) of the public hearing(s): _____
- d) How was the public notified of the public hearing? Check all that apply.
 - Parent newsletter
 - Tribal/local media



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- Internet. List website address(es) _____
- Social media (such as Facebook, Twitter, etc.)
- Posting on community bulletin board, etc.
- Other: _____

e) How the content of the Plan was made available throughout the service area prior to the public hearing? Check all that apply.

- Tribal offices (including CCDF offices)
- Internet (provide website(s)): _____
- Email
- Other: _____

f) Describe how the input from the public hearing(s) was taken into consideration in the development of the final Plan: _____

1.4.4 Does the Tribal Lead Agency make the final CCDF Plan and any subsequent Plan Amendments available to the public?

- No.
- Yes. Describe: _____

1.5 Consultation in the Development of the State CCDF Plan

The CCDBG Act of 2014 requires States, at the option of the Tribe or Tribal organization to collaborate and coordinate with Tribes and Tribal organizations in the development of the **State CCDF Plan** in a timely manner. (658D (b)(1)(E))

1.5.1 Did a State consult with the Tribal Lead Agency on the development of the **State's CCDF Plan**?

- No.
- Yes. Describe: _____

1.6 Coordination of Services

As part of its CCDF Plan development process, the Tribal Lead Agency is required to coordinate services with other Tribal, Federal, State, and/or local child care and early childhood development programs and with agencies responsible for public health, employment services/workforce development, public education, and Temporary Assistance for Needy Families. (658D(b)(2), 98.14(a)), 98.16(d)



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- 1.6.1 Describe how the Tribal Lead Agency coordinates the delivery of CCDF services with the following agencies or entities:
- a) Other Tribal, Federal, State and local child care and early childhood development programs, including, to the extent possible, Head Start/Early Head Start, Maternal, Infant, and Early Childhood Home Visiting, and programs serving infants and toddlers, preschool-age children, children with disabilities, homeless children, and children in foster care
Describe: _____
 - b) Employment services/workforce development
Describe: _____
 - c) Public health (including the agency responsible for immunizations and dental care)
Describe: _____
 - d) Public education
Describe: _____
 - e) Social services (including agencies providing mental health services)
Describe: _____
 - f) Temporary Assistance for Needy Families (TANF)
Describe: _____
 - g) Public-private partnerships
Describe: _____
 - h) Other
Describe: _____
- 1.6.2 Did the Tribal Lead Agency coordinate with Head Start/Early Head Start or other programs/agencies to assess the needs and what resources are available to support early childhood development?
- No.
- Yes. Describe: _____
- 1.6.3 How does the Tribal Lead Agency determine the Tribal community's child care needs, including the needs of any underserved populations, such as infants and toddlers, special needs children, and non-tradition hour care? For example, does the Tribal Lead Agency conduct a needs assessment, survey community members, etc.? Describe: _____



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2 Provide Stable Child Care Financial Assistance to Families

2.1 Eligible Children and Families

At the point in time when eligibility is determined, children must: (1) be under the age of 13; (2) meet the Tribal Lead Agency's definition of "Indian Child"; (3) reside within the Tribal Lead Agency's defined "service area"; (4) reside with a family whose income does not exceed 85 percent of the Grantee Median Income (GMI) for a family of the same size; and (5)(a) reside with a parent or parents who are working or attending a job training or educational program; or (b) receive, or need to receive, protective services and reside with a parent or parents not described in (5)(a) above. (658P(4))

2.1.1 Eligibility Criteria Related to the Child

- a) Programs and activities are to be carried out for the benefit of Indian children. 98.81(b)(2)(i)

Guidance: While Tribal Lead Agencies have some flexibility in defining "Indian Child," the definition must be limited to children from federally recognized Indian Tribes, consistent with the Child Care and Development Block Grant Act's definition of Indian Tribe. This could include children who are tribal members, whose membership is pending, who are eligible for membership, and/or who are children/descendants of members. This could also include adopted children, foster children, and step-children, etc.

The Tribal Lead Agency defines an "Indian child" as: _____.

- b) Programs and activities are to be carried out for the benefit of Indian children living **on or near** the Indian reservation or, for those Tribes that do not have reservations, the Tribe's existing service area. If a Tribal Lead Agency establishes a different service area for CCDF purposes, it must be within a reasonably close geographic proximity to the borders of the Tribe's reservation or existing service area. (658O(c)(2)(B), 98.80(e), 98.81(b)(2)(ii), 98.81(b)(3)(ii), 98.83(b))

Guidance: There is an expectation that the Tribal Lead Agency will be able to provide services to families throughout the service area. ACF will not approve an entire state as a Tribe's service area. Tribes can limit services within the reservation boundaries or can go beyond the reservation boundaries. For example: "permanent residence is within the reservation boundaries, however the participant is temporarily attending school outside of the reservation area," or "resides within 20 miles of the reservation boundaries," etc.

Define the Tribal Lead Agency's CCDF Service Area: _____

Optional: In addition to the description above, a clearly labeled map of the service area is attached. Attachment # _____

- c) The Tribal CCDF program serves children from _____ (weeks/months/years) to _____ (weeks/months/years) (Note: Maximum age is through age 12).



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

Yes, and the upper age is _____ (maximum age is through age 18).

Define “physical or mental incapacity”: _____

No.

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

Yes, and the upper age is _____ (maximum age is through age 18).

No.

2.1.2 How does the Tribal Lead Agency define the following terms for CCDF eligibility purposes?

a) “residing with”: _____

b) “*in loco parentis*” (refers to an individual who assumes parental status and responsibilities for another child, such as a foster parent or other guardian): _____

2.1.3 Eligibility Criteria Based on Reason for Care

- a) In order to be eligible to receive CCDF services, children must reside with a parent(s) who are working, attending a job training program, or attending an educational program. Check all parent participation options below that the Tribal Lead Agency allows; for each option checked, provide a brief definition of the term as used for CCDF eligibility purposes.

Guidance: Tribal Lead Agencies have broad flexibility in defining “working,” “attending a job training program,” and “attending an educational program.” The definitions provided below should include *any* allowable activities, including travel time and study time. For example, a definition of “working” could include working for a salary or wages, self-employment, subsistence activities, job search, and/or volunteering, as well as the travel time to and from the activity. Definitions should also address any limitations, such as minimum hours required or maximum hours allowed.

Eligibility based on working

Define “working”: _____

Eligibility based on attending a job training program

Define “attending a job training program”: _____

Eligibility based on attending an educational program

Define “attending an educational program”: _____



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- b) Tribes can use CCDF in several ways to support families who are facing particular risks (for example, if the family is homeless, receiving services from child welfare, or if the child is in a foster placement), in which child care can be a protective factor for the child. Does the Tribal Lead Agency provide child care to children who receive, or need to receive, protective services?

Guidance: Tribal Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases, including but not limited to, homeless children. If the Tribal Lead Agency provides CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities, for CCDF purposes, these children are considered to be in protective services and must be included in this definition.

No (skip to 2.1.4).

Yes. Complete 1-4 below.

1) Define “protective services” for the purposes of eligibility: _____

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

Yes.

No.

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

Yes, and foster care is included under the Tribal Lead Agency’s definition of protective services in 2.1.3(b)(1) above. (This means that, for CCDF purposes, the Tribal Lead Agency considers these children to be served under the protective services eligibility category.)

No.

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

Guidance: CCDF allows for “respite care” only for brief, occasional periods in excess of the normal “less than 24 hr. period” allowed for CCDF child care. Respite care is available for parents in protective services cases (including foster parents, if the Tribal Lead Agency checks “yes” under 2.1.3(b)(3) above) who need relief from caretaking responsibilities. For example, CCDF could pay a provider to care for a protective services child for one weekend a month. This definition of “respite child care” may differ from how Tribes define it for other purposes (e.g., child welfare). Since respite care is provided to give parents time off from parenting, rather than care to allow the parent to participate in work or in education or training, CCDF cannot be used for respite care for children with disabilities unless the child also needs or is receiving protective services.



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- Yes, and respite care is included under the Tribal Lead Agency's definition of protective services in 2.1.3(b)(1) above.
- No.

2.1.4 Eligibility Criteria Based on Family Income

a) How does the Tribal Lead Agency define "income" for the purposes of eligibility?

Guidance: Tribal Lead Agencies have flexibility in defining "income." This flexibility allows for the exclusion or deduction of certain types of income, as defined by the Tribe, from calculations of total family incomes for purposes of eligibility determination.

Define "income":

b) Tribal Lead Agencies must establish CCDF family income eligibility limits. Those limits cannot exceed 85% of the Grantee Median Income (GMI). A Tribal Lead Agency has the flexibility to use either State Median Income or Tribal Median Income as its GMI. Check the appropriate box below to indicate which option the Tribal Lead Agency has selected:

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

Source: _____ Year: _____

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

Source: _____ Year: _____

c) Complete the CCDF income eligibility table. The effective date of the table is: _____.

i. **Columns (a) and (b):** Column (a) lists the current GMI for each family size. Column (b) lists 85% of the current GMI for each family size (by law, this is the maximum allowable income for CCDF eligibility). **All Tribal Lead Agencies must complete columns (a) and (b).**

ii. **Columns (c) and (d):** Tribal Lead Agencies have the option of setting income eligibility limits below 85% of the current GMI. Has the Tribal Lead Agency chosen to set income eligibility limits below 85% of the current GMI?

No (do not complete columns (c)-(f); skip to 2.1.6).

Yes. Complete columns (c) and (d) to show the Tribal Lead Agency's maximum income eligibility level for each family size at the time a family applies for CCDF services.

iii. **Columns (e) and (f):** Once a family's eligibility has been determined, Tribal Lead Agencies have the flexibility to allow families to continue to receive CCDF assistance if their income increases above the eligibility limit shown in column (c), as long as their income does not exceed the eligibility limit shown in column (b) (85% of the



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current GMI). Does the Tribal Lead Agency allow families to continue to receive CCDF assistance during their eligibility period (as defined in 2.2.3) if their income increases but remains at or below 85% of the current GMI?

- No (do not complete columns (e) and (f); skip to 2.1.5).
- Yes, families can continue to receive assistance until their income reaches an amount up to 85% of the current GMI. Complete columns (e) and (f) to list the Tribal Lead Agency’s maximum “exit” income levels; the income limit in column (e) cannot exceed the amount shown in column (b).

Table 2.1.4(c): Tribal CCDF Income Eligibility Levels

	(a)	(b)	(c)	(d)	(e)	(f)
Family Size	100% of Grantee Median Income (GMI)	85% of GMI	(IF APPLICABLE) Maximum Income Level if lower than 85% Current GMI		(IF APPLICABLE) Maximum “Exit” Income Level (cannot exceed 85% GMI)	
	\$/month	\$/month [Multiply (a) by 0.85]	\$/month	% of GMI [Divide (c) by (a), multiply by 100]	\$/month	% of GMI [Divide (f) by (a), multiply by 100]
1*						
2						
3						
4						
5						
6						
7						
8						

***Note:** On a case-by-case basis, Tribal Lead Agencies may consider a child in foster care to be a “family of one” for purposes of determining CCDF income eligibility.

2.1.5 During eligibility determination or redetermination process, does the Tribal Lead Agency take into account fluctuations in family income?

Guidance: Tribal Lead Agencies have the flexibility to take into account irregular fluctuations in income when determining and redetermining eligibility. This is particularly important for families who rely on work that is unpredictable or seasonal in nature, such as agriculture, construction work, or subsistence activities such as hunting and fishing. These families may experience a temporary spike in income due to working increased hours over a short period, yet those earnings are not representative of the family’s income over the course of a year.

- No.
- Yes. Describe: _____



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2.1.6 Does the Tribal Lead Agency establish additional eligibility criteria? (658E(a), 98.16(g)(5), 98.20(b))

Guidance: The Tribal Lead Agency has flexibility in establishing additional eligibility criteria. Additional criteria could include, for example, application to the State CCDF program first; higher income limits in one part of the tribal service area; or an asset/resource limit.

No.

Yes. Describe: _____

If additional eligibility criteria include different income eligibility limits, please attach additional income eligibility tables and indicate attachment number(s): _____

2.2 Application and Eligibility Determination/Redetermination Processes

2.2.1 Tribal Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for Tribal CCDF assistance. (658E(c)(2)(E)(i)(1))

Parents are informed of the availability of child care assistance services under Tribal CCDF through (check all that apply):

Tribal Lead Agency

Child care providers

Child care resource and referral agencies

Public and/or tribal schools

Early Head Start/Head Start programs

Health Clinics

TANF offices

Other tribal offices

Other governmental offices

Community outreach events

Radio and/or television

Social media

Internet (provide website): _____

Other. Describe: _____

2.2.2 How can parents apply for child care services? Check all that apply.

In-person interview or orientation



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- Phone
- Mail/fax
- At the child care provider's site
- Electronically via online application or email. Provide web link _____
- Other. Describe: _____

2.2.3 Describe how the Tribal Lead Agency documents and verifies child and family eligibility: _____

2.2.4 Which strategies, if any, will the Tribal Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications? Check all that apply.

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

2.2.5 How often does the Tribal Lead Agency redetermine eligibility for CCDF families?

- Every 12 months
- Other. Describe: _____

2.2.6 Does the Tribal Lead Agency require CCDF families to provide information on the parents' job/training status or income in between determination periods?

- No.
- Yes. Describe: _____

2.2.7 Does the Tribal Lead Agency have redetermination policies and procedures to ensure that parents do not have their employment, education or job training unduly disrupted? Examples include: allowing telephone applications; having an abbreviated application; and reduced documentation requirements.

Guidance: Tribal Lead Agencies have the flexibility to establish procedures that help ensure that parents do not have to unduly disrupt their employment, education, or job training activities in order to comply with the Tribal Lead Agency's requirements for redetermination of eligibility for assistance.

- No.
- Yes. Describe: _____



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- 2.2.8 Tribal Lead Agencies are required to inform parents who receive Temporary Assistance for Needy Families (TANF) benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age (98.16(p) and 98.33(b)).

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

- a) Identify the TANF agency that established these criteria or definitions:
- State TANF Agency: _____
- Tribal TANF Agency: _____
- b) In the spaces below, provide the criteria or definitions used by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care:
- i. "appropriate child care": _____
- ii. "reasonable distance": _____
- iii. "unsuitability of informal child care": _____
- iv. "affordable child care arrangements": _____
- c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements? Briefly describe the process: _____

2.3 Improving Access for Vulnerable Children and Families

At a minimum, CCDF requires Tribal Lead Agencies to give priority for child care assistance to "children with special needs." Tribal Lead Agencies may also establish additional priority categories. (658E(c)(3)(B))

- 2.3.1 Describe how the Tribal Lead Agency will prioritize or target child care services for children with special needs. (658E(c)(3)(B))

Guidance: Tribal Lead Agencies have flexibility in how they define "children with special needs." Tribal Lead Agencies are not limited in defining "children with special needs" to only those children with physical or mental disabilities. For example, Tribal Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children in their definition of "children with special needs."

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



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

No.

Yes. Define the additional priority rules/categories and describe how priority is given:

Definition(s): _____

Describe how priority is given: _____

2.3.3 Does the Tribe have procedures to improve access to child care for homeless children and families? Procedures might include special outreach, grace periods for submitting documentation, etc.

Guidance: Tribal Lead Agencies have the flexibility to establish procedures to improve child care access for homeless children, including procedures allowing a grace period during which homeless children can receive CCDF assistance while their families are, for example, gathering required documentation or taking the necessary actions to comply with immunization and other health and safety requirements as described in Section 5.

No.

Yes. Define “homeless” and describe your procedures.

Define “homeless”: _____

Describe procedures: _____

2.4 Family Contribution to Payment

The statute requires Tribal Lead Agencies to establish a sliding fee scale that varies based on family income and the size of the family to be used in determining each family's contribution (i.e., co-payment) to the cost of child care. Co-payments should not be a barrier to families receiving CCDF. (658E(c)(5). In addition to income and size of the family, the Tribal Lead Agency may use other factors when determining family contributions/co-payments.

2.4.1 Attach a copy of the sliding fee scale (Enter Attachment #: _____)

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

Yes. Effective date: _____

No. Attach other sliding fee scale(s) and their effective date(s).

Attachment(s) #: _____ Effective date(s): _____

2.4.2 Does the Tribal Lead Agency use other factors in addition to income and family size to determine each family's co-payment? Examples of additional factors could include: multiple children in care; quality of care; or number of hours in care. (658E(c)(3)(B))

No.



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Yes. Describe: _____

2.4.3 How will the family's co-payment be calculated and to whom will it be applied? Complete (a)-(c) below.

a. The co-payment is a: dollar amount percent of income.

b. The co-payment amount is applied: hourly daily weekly monthly
 other: _____.

c. The co-payment is applied: per family per child.

2.4.4 How will the Tribal Lead Agency ensure the family's co-payment, based on a sliding fee scale, is affordable and not a barrier to families receiving CCDF? Examples could include limiting maximum co-payment to a specific percentage of family income or reducing co-payments for additional children in care. _____

2.4.5 The Tribal Lead Agency may waive co-payments from families whose incomes are at or below the poverty level for a family of the same size (98.42(c)).

The poverty level used by the Tribal Lead Agency for a family of 3 is \$_____. The source of the poverty level used by the Tribal Lead Agency is (include date of publication): _____.

Check the option which the Tribal Lead Agency has chosen to use:

ALL families, including those with incomes at or below the poverty level for a family of the same size, ARE required to pay a co-payment.

SOME families with incomes at or below the poverty ARE NOT required to pay a co-payment. The Tribal Lead Agency waives the co-payment for families in the following circumstances: _____

NO families with incomes at or below the poverty level for a family of the same size are required to pay a co-payment.



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3 Ensure Equal Access to High Quality Child Care for Low-Income Children

3.1 Description of How Child Care Services Are Provided

Guidance: CCDF services may be provided through a subsidy program where the grantee offers certificates (so that parents may choose from different categories of care), through a Tribal CCDF-Operated Center, or through grants or contracts for child care slots (i.e., agreements between the grantee and provider to provide child care services).

3.1.1 Child Care Services Available through Certificates (658A(b)(1), 658E(c)(3)(A)&(B), 658P(5)&(6), 98.16(g)(1), 98.30, 98.50)

a) Does the Tribal Lead Agency operate a subsidy program offering certificates that allow parents to choose from a variety of categories of care?

No (skip to 3.1.2).

Yes, parents can choose from the following categories of care (check all that apply):

Center-based child care Family child care home

Group child care home In-home child care

b) Are certificates available throughout the entire service area? (658E(a), 98.16(g)(3))

Yes.

No. Describe where certificates are, and are not, available within the service area:

c) If the Tribal Lead Agency allows for in-home care (i.e., **care provided in the child's own home**), does the Lead Agency limit the use of in-home care in any way?

No.

Yes. What limits does the Tribal Lead Agency set? Check all that apply.

Restricted based on minimum number of children in the care of the provider (to meet minimum wage law or Fair Labor Standards Act). Describe: _____

Restricted based on provider meeting a minimum age requirement. Describe: _____

Restricted based on hours of care (a certain number of hours, non-traditional work hours, etc.). Describe: _____

Restricted to care by relatives. Describe: _____

Restricted to care for children with special needs or medical conditions. Describe: _____



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Other. Describe: _____

CCDF Plan Effective Date: **October 1, 2016**

Amended Effective Date: [Insert Date as Amended] _____



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3.1.2 Child Care Services Available through Tribal CCDF-Operated Centers

Does the Tribe operate one or more child care centers using CCDF funds for operational costs?

Guidance: Tribal Lead Agencies that use CCDF funds to directly support the operational costs of a child care center are said to have a “Tribal CCDF-Operated Center.” The Tribe or its designee (not necessarily the Tribal Lead Agency itself) oversees operations of the child care center: paying facility costs (e.g., rent and utilities), hiring and managing staff, purchasing equipment and supplies, and screening families for eligibility.

No (skip to 3.1.3).

Yes. Complete the table below and answer the questions that follow.

Table 3.1.2. Tribal CCDF-Operated Center(s)							
Identify Tribal CCDF-Operated Centers For each Tribal CCDF-Operated Center, provide the center’s name and physical address (including city & state). (One center per row)	Types of Services (Check all that apply)				Age Groups Served (Check all that apply)		
	Full-Time	Part-Time	Before/After School	Other Services (Briefly Describe)	Infant and Toddler	Preschool	School Age
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note: If the Tribal Lead Agency has more than 3 Tribal CCDF-Operated Centers, please use an attachment to provide the information above for each additional center (Attachment #: _____)

3.1.3 Child Care Services Available through Grants or Contracts for Child Care Slots

a) Does the Tribal Lead Agency provide child care services through grants or contracts for child care slots? (658A(b)(1))



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Note: Do not check “yes” if every provider is simply required to sign an agreement in order to be paid in the certificate program.

No (skip to 3.1.4).

Yes. Describe:

i. The type(s) of child care services available through grant-/contract-funded slots (such as “center-based infant care”): _____

ii. How parents are informed of the availability of grant-/contract-funded slots: _____

iii. How parents apply for those slots: _____

iv. Whether or not grant-/contract-funded slots are available throughout the Tribe’s CCDF service area: _____

b) Will the Tribal Lead Agency use grants or contracts for child care slots to achieve any of the following (check all that apply)?

Increase the **supply** of specific types of care and improve the **quality** of child care programs with grant-/contract-funded slots for:

Providers offering native language education or a culturally-based curriculum

Providers to serve specific populations (such as children with disabilities, infants and toddlers, school-age children, homeless children, and children in isolated geographic areas)

Providers to serve children needing care during non-traditional hours

Providers offering comprehensive services, such as child care integrated into Head Start or Early Head Start

Providers meeting higher quality standards, such as programs with higher Quality Rating and Improvement System (QRIS) ratings or nationally accredited programs

Providers offering bonuses, higher pay, or other financial incentives to teaching staff for reaching higher levels of education and/or qualifications

Other. Describe: _____

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

How does the Tribal Lead Agency ensure that parents have unlimited access? Describe: _____



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3.1.5 How are parents informed of the option to choose from the full range of child care provider categories – centers, family child care homes, group child care homes, and in-home providers? (658E(c)(2)(A)(i), 658P(2), 658Q)) Check all that apply.

- Certificate provides information about the choice of providers, including high quality providers
- Consumer education materials on choosing child care
- Verbal communication at the time of application
- Community outreach, workshops, or other in-person activities
- Other. Describe: _____

3.1.6 If the Tribal Lead Agency offers both certificates **and** grants/contracts for child care slots (see 3.1.3), how is the parent of each eligible child advised that s/he has the option of receiving a child care certificate or selecting a provider that has grant-/contract-funded slots? (658E(c)(2)(A)(i), 658P(2)) Describe: _____

3.2 **Assessing Child Care Market Rates**

3.2.1 Market Rate Survey Requirements

Tribal Lead Agencies are required to establish payment rates for child care services that ensure eligible families equal access to child care services comparable to those services provided to families not eligible to receive CCDF services. At a minimum, Tribal Lead Agencies are required to show how payment rates are adequate based on a local Market Rate Survey (MRS) conducted *no earlier than two years (07/1/2014) prior to the date of the Plan submission.*

Because Market Rate Surveys might not be feasible for some Tribal Lead Agencies, Tribal Lead Agencies have three options for fulfilling the local Market Rate Survey requirements:

- 1) Conducting a local Market Rate Survey,
- 2) Using the State’s local Market Rate Survey, or
- 3) Providing alternative documentation in lieu of a local Market Rate Survey (if applicable criteria are met).

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

Option 1 – The Tribal Lead Agency conducts its own Market Rate Survey.

- a) Date the Market Rate Survey was conducted: ____/____/____
- b) How did the Tribal Lead Agency use the results of this Market Rate Survey to assist in establishing payment rates for child care services? Describe: _____



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Option 2 – The Tribal Lead Agency uses the State’s Market Rate Survey.

- a) Name of State(s): _____
- b) Date the State’s Market Rate Survey was conducted: ____/____/____
- c) How did the Tribal Lead Agency use the results of this Market Rate Survey to assist in establishing payment rates for child care services? Describe: _____

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

Please select only one criterion.

Criteria 1 – Check if the Tribal Lead Agency:

Provides CCDF direct services **solely** in a Tribal CCDF-Operated Center(s) and does not provide services through certificates, grants, or contracts;

OR

Funds CCDF direct services **solely** in unregulated home-based settings such as in-home care (i.e., care in the child’s own home) or unregulated family child care homes, and does not fund any CCDF services in centers, regulated family child care homes or regulated group homes.

Criteria 2 – Check if the Tribal Lead Agency:

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

3.3 **Setting Payment Rates for Child Care Services**

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

Note: For Tribal Lead Agencies that **only** offer direct services through one or more Tribal CCDF-Operated Centers and/or grants/contracts for slots, skip to 3.3.2.



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3.3.1 The Tribal Lead Agency's payment rates are attached as Attachment #: _____ and the effective date of those payment rates is: _____.

Guidance: The attached payment rates should reflect the variety of care offered in your program (for example, different rates based on the child's age, the category of care, hours of care offered). Tribal Lead Agencies are reminded that payment rates cannot be based on a family's eligibility or circumstances. This means, for example, that the Tribal Lead Agency may not establish payment rates for TANF families that differ from the payment rates for child care for the working poor, or for families in education or training.

Will the attached payment rates be used in all parts of the Tribal service area?

Yes.

No. Additional payment rates are attached as Attachment #: _____ and the effective date of those payment rates is: _____. Describe or list the geographic areas where each set of rates is used: _____

3.3.2 Does the Tribal Lead Agency provide child care services **solely** through a Tribal CCDF-Operated Center(s) and/or grants and contracts for child care slots?

Guidance: For Tribal Lead Agencies that only offer direct services through a Tribal CCDF-Operated Center(s) and/or grants and contracts, the Tribe could provide information about its CCDF budget, including the average cost of providing care per child, or information about what the center(s) would charge a non-subsidized child for care in lieu of a payment rate schedule.

No.

Yes. Complete the following and skip to 3.4:

- a) Attach information on actual cost of care per child, budget information, or other documentation regarding the cost of providing child care services (Attachment #: _____).
- b) How is the attached information used to determine the amount of CCDF funds used to pay for care provided in your Tribal CCDF-Operated Center(s) and/or for grant-/contract-funded slots? Describe: _____



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3.3.3 For Programs that Offer Certificates: Does the Tribal Lead Agency provide any type of tiered payment or differential (add-on) rates?

Guidance: Tribal Lead Agencies set payment rates based what providers in the CCDF service area charge for care. Providers usually set their prices based on a number of factors, such as the costs of providing care, their geographic location, the age of the child, the hours when care is provided, and the quality of care. Taking those factors into account means that Tribal Lead Agencies may set different rates for different kinds of care; for example, payment rates for infants may be higher than rates for school-age care because the higher costs of providing infant care mean that providers usually charge more for that service than they do for school-age care.

In addition to these kinds of rate differences based on variations in provider prices, Tribal Lead Agencies can choose to set **tiered payment rates** or create **rate add-ons** (sometimes called “differential rates”) on top of their regular payment rates. These tiered rates and add-ons are additional amounts paid to providers as a way to increase payment rates for targeted needs. For example, a Tribal Lead Agency could try to encourage more care during non-traditional hours by paying providers who work evenings a 15% add-on over the regular payment rate. An example of tiered rates might be paying family child care providers who earn a CDA 5% more than the regular rate and paying those that earn accreditation 10% more. Tiered rates and add-ons are often used to encourage and support care for specific populations (such as children with special needs, infants and toddlers, school-age children, children in remote rural areas, or homeless children) and to encourage providers to increase or sustain their program quality.

- No.
- Yes. Check all that apply:
- We use a Tribally-defined system of tiered payment or differential rates. Describe: _____
 - We follow the State(s)' tiered/differential payment system. State(s): _____

Note: Include tiered/differential rates on the payment rate attachment(s) in 3.3.1.

3.3.4 For Programs that Offer Certificates: How does the Tribal Lead Agency ensure that payment rates are sufficient to ensure equal access? Equal access would offer children receiving CCDF subsidies access to the same services (type of care, quality of care) as children not receiving CCDF. Check all that apply and provide a summary of data and facts the Tribal Lead Agency used to determine equal access. (658E (c)(4)(A))

- Payment rates are set at the 75th percentile or higher of the most recent survey. Describe: _____
- Feedback from parents, including parent surveys or parent complaints. Describe: _____
- Using tiered rates/differential rates (as described in 3.3.3) to increase access for targeted needs.
- Other. Describe: _____



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3.4 Payment Practices and Timeliness of Payments to Providers

The Tribal Lead Agency should follow generally accepted payment practices for child care providers in the Tribe's CCDF service area and, to the extent practicable, implement enrollment and eligibility policies that allow providers to receive payment for a child's occasional absences. (658E(c)(2)(S)) These practices help to provide stability of funding and encourage more child care providers to participate in the subsidy program.

Note: For Tribal Lead Agencies that **only** offer direct services through one or more Tribal CCDF-Operated Centers, skip to 3.5.

3.4.1 Does the Tribal Lead Agency use any of the following payment practices? Check all that apply.

- Pays providers prior to the delivery of child care services. Describe: _____
- Pays providers based on enrollment instead of attendance (i.e., pays full payment even if child is occasionally absent). Examples might include paying for a set number of days in a month or making full payment if a child attends at least a certain percent of authorized time. Describe: _____
- Pays on a full-time or part-time basis (rather than smaller increments such as hourly). Describe: _____
- Pays the standard fees that the provider charges private-paying parents (e.g., registration fees, deposits, supplies, field trips). Describe: _____
- Provides prompt notice to providers regarding any changes to the family's eligibility status that may impact payment. Describe: _____
- Has a timely appeal and resolution process for payment inaccuracies and disputes. Describe: _____
- Other. Describe: _____
- No, the Tribe does not use any of the payment practices listed above.

3.4.2 How does the Tribal Lead Agency ensure the timeliness of payments to providers? Check all that apply.

- Pays providers within a certain number of days of billing for services. Describe: _____
- Tracks and monitors the payment process. Describe: _____
- Uses electronic tools (e.g., automated billing, direct deposit). Describe: _____
- Other. Describe: _____
- The Tribe does not use any strategies to ensure the timeliness of payments to providers.



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3.5 Supply Building Strategies to Meet the Needs of Certain Populations

3.5.1 Will the Tribal Lead Agency develop and implement any strategies to increase the supply and improve the quality of child care services for children in underserved populations? Underserved populations may include infants and toddlers, children with disabilities, children in underserved geographic areas, and children who receive care during non-traditional hours.

No.

Yes. Check all that apply and describe the strategies used to increase supply and improve quality for each specific population. Examples of strategies might include offering grants and contracts for slots (as discussed in 3.1.3); providing start-up or quality improvement grants; providing technical assistance and support to providers; recruiting providers; and paying tiered payment rates (as discussed in 3.3.3).

Infants and toddlers. Describe: _____

School-age children. Describe: _____

Children with disabilities. Describe: _____

Children in underserved geographic areas. Describe: _____

Children who receive care during non-traditional hours. Describe: _____

Homeless children. Describe: _____

Other specific populations. Describe: _____



4 Ensuring the Health and Safety of Children in Child Care Settings

4.1 Requirements and Standards

Tribal Lead Agencies must have health and safety requirements for all categories of CCDF child care providers addressed in Section 3.1. These may be Tribally-developed standards and/or a Tribal Lead Agency may choose to follow the child care licensing standards for the State(s) where the Tribal Lead Agency certifies providers. **At a minimum**, the Tribal Lead Agency must have health and safety requirements in the following topic areas: Prevention and Control of Infectious Disease, Building and Physical Premises Safety, and Health and Safety Training. (658(c)(2)(F) and 98.41)

4.1.1 The Tribal Lead Agency certifies that it has requirements related to Prevention and Control of Infectious Disease, Building and Physical Premises Safety, and Health and Safety Training applicable to CCDF providers in each of the following categories of care offered by the Tribal Lead Agency; check all that apply and indicate the source of the health and safety standards:

Guidance: For each category of care offered:

- If the Tribal Lead Agency has developed its own standards (even if those standards were adapted from other sources, such as *Caring for Our Children* or State licensing standards), check “Tribal Standards.”
- If the Tribal Lead Agency requires providers to meet standards established by a State Agency (such as State licensing or State department of education), check “State Standards.”
- If the Tribal Lead Agency requires providers to meet standards from more than one source (for example, State licensing standards for off-reservation providers and Tribally-developed standards for providers on the reservation), check “Tribal Standards,” “State Standards,” **and** “Other Source(s)/Combination of Sources” and describe which standards apply to which providers.
- If the Tribal Lead Agency requires providers to meet standards from a source not listed in the table in columns (a), (b), and (c) (such as Indian Health Service or the Child and Adult Care Food Program), then check “Other Source(s)/Combination of Sources” and describe the source(s) of the standards.

	(a)	(b)	(c)	(d)
Provider Categories	Tribal Standards	State Standards	Head Start/ Early Head Start Standards	Other Standards/ Combination of Standards
<input type="checkbox"/> Center-Based Child Care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Describe: _____
<input type="checkbox"/> Tribal CCDF-Operated Center(s) (if different)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Describe: _____
<input type="checkbox"/> Family Home Child Care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Describe: _____
<input type="checkbox"/> Group Home Child Care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Describe: _____
<input type="checkbox"/> In-Home Child Care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Describe: _____



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4.1.2 Do your Tribal CCDF requirements include staff-to-child ratios and group size limits?

No.

Yes. Describe: _____

4.1.3 Do your Tribal CCDF requirements include qualifications for providers appropriate to the type of child care setting, such as minimum age allowed, minimum education level, health clearance, etc.?

No.

Yes (check all that apply):

Center-based child care (including school-age care programs). Describe: _____

Tribal CCDF Operated Center(s) (if different). Describe: _____

Family child care home/group child care home. Describe: _____

Group child care home. Describe: _____

In-home providers. Describe: _____

4.1.4 Does the Tribal Lead Agency have child abuse reporting requirements in place? (42 U.S.C. 5106a(b)(2)(B)(i)) (658E(c)(2)(L))

Yes.

No.

4.1.5 In addition to the requirements identified in 4.1.1, does the Tribal Lead Agency have health and safety requirements for CCDF providers in the following areas? Check all that apply.

Health and Safety Requirement	Center-based Child Care	Tribal CCDF-Operated Center	Family Home Child Care	Group Home Child Care	In-Home Child Care
Prevention of sudden infant death syndrome and use of safe sleeping practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Administration of medication, consistent with standards for parental consent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Prevention of and response to emergencies due to food and allergic reactions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Prevention of shaken baby syndrome and abusive head trauma	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Amended Effective Date: [Insert Date as Amended] _____



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Health and Safety Requirement	Center-based Child Care	Tribal CCDF-Operated Center	Family Home Child Care	Group Home Child Care	In-Home Child Care
Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event (such as violence at a child care facility)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Handling and storage of hazardous materials and the appropriate disposal of bio contaminants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Precautions in transporting children (<i>if applicable</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
First aid and cardiopulmonary resuscitation (CPR) certification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Nutrition	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Access to physical activity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Limiting screen time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Caring for children with special health or developmental needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.1.6 Does the Tribal Lead Agency require training during a preservice or orientation period (period prior to a provider caring for CCDF-funded children or shortly after care begins) and/or ongoing training appropriate to the provider setting that addresses the requirements relating to the topics checked in 4.1.5 above?

a) Preservice/orientation training

- Yes. Describe the preservice/orientation training requirements, including categories of providers, topics required, and the minimum number of hours required: _____
- No.

b) Ongoing training

- Yes. Describe the ongoing training requirements, including categories of providers, topics required, and the minimum number of hours required: _____



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No.

4.2 Disaster Preparedness and Response

4.2.1 Does the Tribe or Tribal Lead Agency have plans in place to ensure continued CCDF assistance and child care services after a disaster?

Yes. Describe: _____

No.

4.3 Monitoring and Enforcement Policies and Practices

Tribal Lead Agencies are required to have procedures in place to ensure that all CCDF-funded providers, including Tribal CCDF-Operated Centers and programs exempt from Tribal and/or State licensing (such as faith-based providers and school-based programs), comply with all applicable health and safety requirements. (658E(c)(2)(J))

4.3.1 Does the Tribal Lead Agency have in effect monitoring and enforcement policies and procedures to ensure that CCDF providers comply with applicable health and safety requirements?

Yes, the Tribal Lead Agency has comprehensive, *written* monitoring and enforcement policies and procedures.

Yes, the Tribal Lead Agency has monitoring and enforcement policies and procedures in place but only some are in writing.

Yes, the Tribal Lead Agency has monitoring and enforcement policies and procedures in place but none are in writing.

4.3.2 How does the Tribal Lead Agency monitor its CCDF providers for compliance with its health and safety requirements?

a) Describe the Tribal Lead Agency's monitoring process, including whether other entities (such as State licensing or Indian Health Service) are involved in the monitoring process and how Tribal CCDF-Operated Centers are monitored OR attach a copy of the Tribal Lead Agency's written monitoring policies and procedures: _____

b) Complete the following table:



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Table 4.3.2 Frequency of Monitoring and Inspections		
Provider Categories	Routine Announced Visits	Routine Unannounced Visits
<input type="checkbox"/> Center-Based Child Care	Frequency: _____ Conducted by: _____	Frequency: _____ Conducted by: _____
<input type="checkbox"/> Tribal CCDF Operated Center(s) (if different)	Frequency: _____ Conducted by: _____	Frequency: _____ Conducted by: _____
<input type="checkbox"/> Family Home Child Care	Frequency: _____ Conducted by: _____	Frequency: _____ Conducted by: _____
<input type="checkbox"/> Group Home Child Care	Frequency: _____ Conducted by: _____	Frequency: _____ Conducted by: _____
<input type="checkbox"/> In-Home Child Care	Frequency: _____ Conducted by: _____	Frequency: _____ Conducted by: _____

4.3.3 Does the Tribal Lead Agency share provider-specific information with parents regarding the results of health and safety monitoring? For example, the Tribal Lead Agency could share summaries of Tribal/State monitoring reports with parents of children enrolled with that child care provider.

- No.
- Yes. Describe: _____

4.3.4 Describe how the Tribal Lead Agency meets the requirement to maintain a record of substantiated parental complaints: (658E(c)(2)(C))

- a) How does the Tribal Lead Agency define “substantiated parental complaint”? _____
- b) How does the Tribal Lead Agency maintain a record of substantiated parental complaints about providers (e.g., how long are records maintained and in what format)? _____
- c) How does the Tribal Lead Agency make substantiated parental complaints available to the public on request? _____
- d) Does the Tribal Lead Agency maintain complaints from other individuals about providers?
- No.
- Yes. Describe: _____

4.3.5 Monitoring Inspectors

- a) Does the Tribal Lead Agency have qualifications for the individuals who will monitor/inspect Tribal CCDF providers and facilities?



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- Yes. Describe: _____
- No.
- N/A. As noted in Table 4.3.2, all monitoring visits are conducted by other entities.

b) Have monitors/inspectors received relevant training on the health and safety standards used by the Tribal Lead Agency?

- Yes.
- No.

4.4 Criminal Background Checks

4.4.1 Does the Tribal Lead Agency require criminal background checks for child care center staff; family home, group home, and in-home child care providers?

- No (skip to 4.5).
- Yes. Complete the table below.

Table 4.4.1 Background Checks (Check all that apply)					
For each category of child care provider, check each type of background check that the Tribal Lead Agency requires:					
	Center-based Child Care	Tribal CCDF-Operated Center	Group Home Child Care	Family Home Child Care	In-Home Child Care
State Child Abuse Registry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tribal Criminal Background <input type="checkbox"/> Check if the Tribal background checks include fingerprints.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State Criminal Background <input type="checkbox"/> Check if the State background checks include fingerprints.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FBI Criminal Background (including fingerprints)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
National Crime Information Center	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State Sex Offender Registry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (such as Tribal Registries). Describe: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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4.4.2 Do you require background checks for others residing in a home-based child care setting?

No.

Yes. Describe: _____

4.4.3 Describe the process and procedures for conducting background checks, including the following:

a) How background checks are conducted in a timely manner. Describe: _____

b) How often individuals are required to receive a background check. Describe: _____

c) How the Tribal Lead Agency makes determinations about an individual's eligibility to be a CCDF child care provider/staff member, including the criteria for disqualifying someone from eligibility to be a provider/staff member (such as conviction of certain crimes, refusing a background check, providing false information in connection with a background check, being a registered sex offender, etc.). Describe: _____

d) How individuals are notified about the results and the process for appealing the findings. Describe: _____

4.4.4 Does the Tribal Lead Agency have a review process for individuals who have been convicted of a felony drug offense to determine if that individual is eligible to be a provider or if that adult who lives in the family child care home may have unsupervised contact with children in care?

No.

Yes. Describe: _____

4.5 **Exemption of Relative Providers from Health and Safety Requirements**

Tribal Lead Agencies have the option to exempt specific relative providers (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles) from some or all of the Tribal CCDF health and safety requirements, including applicable requirements related to background checks, health and safety training, and monitoring/inspections. Note this exception only applies if the individual cares ONLY for relative children. (98.41(A)(ii)(A))

Does your Tribal Lead Agency exempt some or all relative providers (as defined above) from some or all of the Tribal CCDF health and safety requirements?

Yes, **all** relative providers (as defined above) are exempt from **all** Tribal CCDF health and safety requirements, including applicable requirements related to background checks, health and safety training, and monitoring/inspections.

Yes, **some** or all relative providers (as defined above) are exempt from some or all Tribal CCDF health and safety requirements. Describe which relatives are exempt from which requirements (be sure to address any exemptions related to background checks, health and safety training, and monitoring/inspections): _____



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- No, **none** of the relative providers defined above are exempt from the Tribal CCDF health and safety requirements, including applicable requirements related to background checks, health and safety training, and monitoring/inspections.

CCDF Plan Effective Date: **October 1, 2016**

Amended Effective Date: [Insert Date as Amended] _____



5 Supporting Continuous Quality Improvement

Tribal CCDF funds can be used for activities designed to improve the quality of child care services and increase parental options for, and access to, high-quality child care. Throughout this section of the Plan, Tribal Lead Agencies are asked to describe their goals and activities for child care quality improvement. Tribes are encouraged, regardless of size, to take an intentional approach to quality improvement – assessing the current quality of care available and the training and technical assistance needs of providers; investing their quality funds and efforts in accordance with the needs; and reviewing the success of their activities to improve quality and making adjustments as necessary. The Tribal Lead Agency should consider its child care quality improvement goals for all Tribal children in child care, not just those receiving assistance under CCDF. (658G, 658E(c)(3)(B), 98.16(h), 98.51, 98.83(f))

Note: In completing this section, the Tribal Lead Agency should describe activities funded with Tribal CCDF dollars, as well as those funded through other sources.

5.1 Child Care Quality Improvement Goals

5.1.1 What are the Tribal Lead Agency's child care quality improvement goals? Check all that apply and describe below.

- Supporting the training and professional development of the child care workforce
- Improving on the development or implementation of early learning and development guidelines
- Developing, implementing, enhancing, or participating in a quality improvement system for child care providers and services
- Improving the supply and quality of child care programs and services for infants and toddlers
- Establishing a Tribal system or participating in the Statewide system of child care resource and referral services
- Supporting compliance with State or Tribal requirements for licensing, inspection, monitoring, training, and health and safety
- Evaluating the quality of child care programs in the Tribe, including evaluating how programs positively impact children
- Supporting providers in the voluntary pursuit of accreditation
- Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development
- Other activities to improve the quality of child care services: _____

Describe: _____



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- 5.1.2 How did the Tribal Lead Agency identify the goals described in 5.1.1? For example, did the Tribal Lead Agency conduct provider surveys or assessments that identified the need for quality improvements? _____
- 5.1.3 What are the steps that the Tribal Lead Agency will take toward meeting the overall child care quality improvement goals described in 5.1.1? _____
- 5.1.4 Does the Tribal Lead Agency evaluate progress toward meeting the overall child care quality improvement goals described in 5.1.1?
- No.
- Yes. Describe: _____

5.2 Quality Improvement through Provider Training and Professional Development

- 5.2.1 Does the Tribal Lead Agency provide ongoing training and professional development (**beyond those health and safety trainings described in Section 4**) that reflect research and/or best practices and improve the quality and stability of the child care workforce? For example, providing educational opportunities to support a pathway to professional development in early childhood development that enables providers to earn a Child Development Associate (CDA) credential, an AA or BA degree, etc.; offering a Native language credential; or providing coaching to providers on dealing with children's challenging behaviors.
- No, we provide only those required health and safety trainings described in Section 4.
- Yes, we provide training and professional development opportunities beyond those health and safety trainings described in Section 4. Describe: _____
- 5.2.2 Does the Tribal Lead Agency use any strategies to recruit and retain providers who will serve eligible children?
- No.
- Yes. Check all that apply.
- Financial assistance for educational expenses
 - Bonuses or pay raises for teachers/staff to stay on the job
 - Bonuses or pay raises for teachers/staff who complete credentials or college coursework
 - Provider appreciation/recognition activities
 - Outreach to high school (including career and technical) students
 - Policies for paid sick leave and/or vacation
 - Policies for health care benefits
 - Policies for retirement benefits



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- Support for providers' mental health (such as provider support groups, training in reflective practices and stress reduction techniques, health and mental health consultation services)
- Other. Describe: _____

5.2.3 Does the Tribal Lead Agency have any policies or activities to strengthen providers' business practices? This may include training, education, and technical assistance in the areas of fiscal management; budgeting; record keeping; hiring, developing, and retaining qualified staff; risk management; community relationships; marketing; and parent/provider communications.

- No.
- Yes. Describe: _____
- N/A. We only offer direct services through one or more Tribal CCDF-Operated Centers.

5.2.4 How does the Tribal Lead Agency interact with State training and professional development systems?

a) Do Tribal CCDF providers participate in the State's training and professional development system? For example, Tribal CCDF providers might participate in trainings offered by the local child care resource and referral agencies or state-funded training organizations.

- Yes. Describe: _____
- No. Check all that apply:
 - The Tribal Lead Agency does not have sufficient information about the State's training and professional development opportunities to share with Tribal CCDF providers.
 - The State's training and professional development opportunities are not accessible to Tribal CCDF providers.
 - The State's training and professional development opportunities are not affordable for Tribal CCDF providers.
 - Other. Describe: _____
- Unknown.

b) Has the Tribal Lead Agency been contacted by the State for input on how to make the State's trainings and professional development opportunities more culturally relevant for Native American children?

- Yes. Describe: _____
- No.



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5.3 Promoting Family Engagement through Outreach and Consumer Education

5.3.1 Does the Tribal Lead Agency collect and disseminate the following types of information to parents, providers, and the general public? Check all that apply.

- Information about the availability of other child care services in the community, including services provided by the Tribe, the State, and other entities
- Information about the quality of child care, including how to select a high-quality provider
- Information about other early childhood and social/human services programs for which families and providers may also qualify, such as Temporary Assistance for Needy Families (TANF), Head Start and Early Head Start, Low-Income Home Energy Assistance Program (LIHEAP), Supplemental Nutrition Assistance Program (SNAP), Women, Infants and Children (WIC) program, Child and Adult Care Food Program (CACFP), Medicaid and State Children's Health Insurance Program (SCHIP)
- Information about programs and services that support children with disabilities
- Information about existing developmental screening resources and services, such as the Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) program or the developmental screening services available under Section 619 and part C of the Individuals with Disabilities Education Act (IDEA)
- Information about research and best practices in child development, including social and emotional development, cognitive development, and physical health and development (particularly healthy eating and physical activity), and parent and family engagement in their child's learning
- Information about preventing the expulsion of children from child care
- Other family engagement strategies. Describe: _____
- No, the Tribe does not collect or disseminate the types of information listed above.

5.4 Other Quality Improvement Activities

5.4.1 Does the Tribal Lead Agency support child care providers in the development of culturally appropriate activities?

- No.
- Yes. Check all that apply.
 - Incorporating tribal language into child care settings. Describe: _____
 - Incorporating tribal culture into child care settings. Describe: _____
 - Culturally-based training opportunities for parents and providers. Describe: _____



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- Providing information to non-Native providers about working with Native children and families. Describe: _____
- Other. Describe: _____

5.4.2 Does the Tribal Lead Agency assist child care providers with meeting applicable Tribal and/or State child care requirements and/or standards? Examples might include offering mini-grants for facility/home repairs; providing smoke detectors; etc.

- No.
- Yes. Describe: _____

5.4.3 Does the Tribal Lead Agency operate a child care resource and referral program, assisting parents with finding and choosing a child care provider; collecting and analyzing child care provider supply and demand data; and providing training and support to providers?

- No.
- No, but we collaborate with the State's child care resource and referral system. State(s): _____
- Yes. Describe: _____

5.4.4 Has the Tribal Lead Agency developed early learning and developmental guidelines describing what children should know and be able to do at each stage of their development?

- No.
- No, but the Tribal Lead Agency has adopted, in whole or in part, the State(s) early learning and developmental guidelines. State(s): _____
- Yes. Describe: _____

5.4.5 Does your Tribe have a quality rating and improvement system (QRIS)?

Guidance: A QRIS is a systemic approach to assess, improve, and communicate the level of quality in early and school-age care and education programs. Similar to rating systems for restaurants and hotels, QRIS award quality ratings to early and school-age care and education programs that meet a set of defined program standards. By participating in their State's QRIS, early and school-age care providers embark on a path of continuous quality improvement. Even providers that have met the standards of the lowest QRIS levels have achieved a level of quality that is beyond the minimum requirements to operate.

- No.
- No, but the Tribal CCDF program has providers that participate in the State QRIS. Describe: _____
- Yes, the Tribe has a QRIS operating throughout the service area. Describe: _____



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5.4.6 Does the Tribal Lead Agency measure the quality and effectiveness of child care services offered in the service area? Examples might include conducting parent satisfaction surveys; evaluating classrooms using environmental rating scales; evaluating teacher-child interactions; assessing child outcomes; etc.

No.

Yes. Describe: _____

5.4.7 Does the Tribal Lead Agency conduct any other activities not described above to improve the quality of child care services in the service area? Examples might include activities that help providers exceed health and safety standards; operating a toy lending library; giving providers mini-grants for age-appropriate resources; support for exempt relative providers; supporting child care providers pursuing accreditation by a national accrediting body (such as NAEYC, NAFCC, etc.).

Note: If quality activities were previously described in Section 3.5.2, indicate that in your description below.

No.

Yes. Describe: _____

5.5 Funding for Quality Activities

5.5.1 Tribal Lead Agencies may leverage other funds to support their quality improvement goals and activities. Other funding sources might include tribal funds, state funds, foundation funds, public-private partnerships, etc. Are all of the activities that are checked or described in this section funded solely with Tribal CCDF dollars?

Yes.

No. List which activities are funded with other sources and indicate the source of funds used (specific funding amounts are not required): _____



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6 Program Integrity and Accountability

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

6.1 Program Integrity and Accountability Measures

6.1.1 Does the Tribe or Tribal Lead Agency have written policies and procedures in place to ensure that the Tribal CCDF program is in compliance with all Federal and Tribal rules and regulations?

No.

No, but written policies and procedures are in the process of being developed.

Yes.

6.1.2 How does the Tribal Lead Agency prevent and identify improper payments? Check all that apply.

Guidance: An improper payment is any payment that should not have been made or that was made in an incorrect amount under statutory, contractual, administrative, or other legally applicable requirements. Incorrect amounts are overpayments or underpayments that are made to eligible recipients (including inappropriate denials of payment or service, any payment that does not account for credit for applicable discounts, payments that are for an incorrect amount, and duplicate payments). An improper payment also includes any payment that was made to an ineligible recipient or for an ineligible good or service, or payments for goods or services not received (except for such payments authorized by law). In addition, when an agency's review is unable to discern whether a payment was proper as a result of insufficient or lack of documentation, this payment must also be considered an improper payment. Improper payments may result from administrative error, unintentional client/provider program violations, or fraud.

Train staff on CCDF policies and regulations

Conduct supervisory staff reviews or quality assurance reviews

Share data with other programs (e.g., State CCDF, Tribal or State TANF, Head Start, Child and Adult Care Food Program (CACFP), other Tribal offices)

Run system reports that flag errors

Review enrollment documents, attendance or billing records

Review provider records

Other. Describe: _____



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6.1.3 The Tribal Lead Agency is required to recover improper payments that are the result of fraud. How does the Tribal Lead Agency investigate and collect improper payments resulting from fraud? Check all that apply.

- Coordinate with, and refer to, other Tribal, State, or federal agencies (e.g., Tribal Council, law enforcement)
- Require recovery if the improper payment exceeds a specific dollar amount. Identify the minimum dollar amount: _____
- Recover through repayment plans
- Reduce payments in subsequent months
- Recover through payroll deductions (for CCDF clients/providers/staff employed by the Tribe)
- Other. Describe: _____

6.1.4 The Tribal Lead Agency has the flexibility to recover improper payments that are the result of unintentional errors/program violations. Does the Tribal Lead Agency choose to investigate and collect improper payments resulting from unintentional errors/program violations?

- No.
- Yes. How will the Tribal Lead Agency investigate and collect improper payments resulting from unintentional errors/program violations? Check all that apply.
 - Coordinate with, and refer to, other Tribal, State, or federal agencies (e.g., Tribal Council, law enforcement)
 - Require recovery if the improper payment exceeds a specific dollar amount. Identify the minimum dollar amount: _____
 - Recover through repayment plans
 - Reduce payments in subsequent months
 - Recover through payroll deductions (for CCDF clients/providers/staff employed by the Tribe)
 - Other. Describe: _____



7 Tribal CCDF Funding

7.1 Child Count

For the purposes of determining a Tribe/Tribal Organization's annual CCDF funding level, the Tribal Lead Agency must conduct and submit a child count that indicates the number of Indian children under age 13 (as defined in 2.1.1a) who reside on or near the reservation or service area (as defined in 2.1.1b). **The Tribal Lead Agency may not count any children who are included in the child count of another CCDF Tribal Lead Agency.** The Tribal Lead Agency is required to confer with all other CCDF Tribal Lead Agencies that have overlapping or neighboring service areas. (98.81(a)(4), 98.81 (b)(4))

7.1.1 Is the CCDF service area (as defined in 2.1.1b) adjacent to, or overlapping with, the CCDF service area(s) of any other Tribal Lead Agencies?

No.

Yes. Identify those other Tribal Lead Agencies and describe the Tribal Lead Agency's process for ensuring unduplicated child counts: _____

7.1.2 Does the Tribal Lead Agency have in effect policies and procedures for conducting the CCDF child count?

Yes, the Tribal Lead Agency has comprehensive, *written* child count policies and procedures.

Yes, the Tribal Lead Agency has child count policies and procedures in place but only some are in writing.

Yes, the Tribal Lead Agency has child count policies and procedures in place but none are in writing.

7.1.3 Complete and attach the "Child Count Declaration" at **Appendix #1**.

Guidance: A tribal consortium must submit:

1. An individual Child Count Declaration for each participating Tribe signed by an individual authorized to act for the Tribe; and
2. A summary listing:
 - o The name of each participating Tribe;
 - o Each participating Tribe's individual child count; and
 - o The total child count for the entire consortium.

7.2 Discretionary Targeted Funds for School-Age/Resource and Referral

Tribal CCDF Discretionary allocations may include targeted funds for school-age care and/or child care resource and referral activities. This amount must be spent on developing and improving school-age care and/or child care resource and referral services. The specific amount of each



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Tribal Lead Agency's Discretionary targeted funds will be included on final allocation tables posted on the Office of Child Care website.

- 7.2.1 How does the Tribal Lead Agency intend to use these funds? Examples might include direct child care services for school-age children; quality improvement grants for school-age care providers; development of a parent/provider resource directory; etc.

Describe: _____

7.3 Intent to Use CCDF Funds for Construction or Major Renovation

Tribal Lead Agencies have the option of using CCDF funds to support the construction or major renovation of a child care facility. CCDF funds cannot be spent for this purpose until a Tribal Lead Agency has completed a separate application process and received official approval from the Office of Child Care. Tribal Lead Agencies should contact the Office of Child Care for information on the separate construction/major renovation application process. Approval of this Tribal CCDF Plan does not constitute approval to spend CCDF funds on construction or major renovation.

- 7.3.1 Does the Tribal Lead Agency intend to use CCDF funds for construction or major renovation during this Plan period?

Yes.

No, not at this time.



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8 Optional Abbreviated Plan for Tribes Receiving Small Allocations

Tribes and Tribal consortia that receive total annual CCDF allocations of less than \$250,000 may choose to complete and submit this abbreviated version of the Plan. Those Tribes that select this option do not need to complete the prior sections of the Plan (Sections 1-7). If the Tribe chooses to complete this abbreviated Plan, the following CCDF requirements must be included:

Part 1 - Administration

- 8.1 A statement identifying the agency or agencies of the Tribal government (or Tribal consortium), including the Tribal Lead Agency, and any other public or private local agencies to be involved in the delivery of CCDF services under the plan.

Name of the Tribe (or Tribal Consortium): _____
Name of Tribal Chair/President/Leader: _____
Title: _____
Address: _____
City, State, Zip Code: _____
Telephone Number: (_____) _____ - _____ Ext: _____
Fax Number: (_____) _____ - _____
Email Address: _____

Name of Tribal Lead Agency: _____
Name of Tribal CCDF Administrator: _____
Title: _____
Mailing address: _____
Physical address (if different than mailing address): _____
Telephone Number: (_____) _____ - _____ Ext: _____
Fax Number: (_____) _____ - _____
Email Address: _____

If the Tribal Lead Agency **will not** directly administer and implement all aspects of the CCDF program, list the names of those entities that will administer/operate aspects of the CCDF program and describe which aspects of the CCDF program they will administer/operate:

- 8.2 If applying as a consortium, attachments providing a list of the participating member Tribes/Alaska Native Villages and submit a demonstration (e.g., a tribal resolution) from each member Tribe that authorizes the consortium to receive CCDF funds on its behalf for the duration of the plan period.

The list is provided as Attachment #: _____

The demonstrations are provided as Attachment #: _____



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In addition, a Tribal consortium must describe how it coordinates services on behalf of each of its participating member Tribes/Villages: _____

- 8.3 A description of results of the Tribal Lead Agency coordination activities and consultation processes in the development of the Plan with:
- a) Public-private partnership: _____
 - b) Representatives of local governments: _____
 - c) Agencies responsible for public health (including the agency responsible for immunizations): _____
 - d) Agencies responsible for public education: _____
 - e) Agencies responsible for employment services or workforce development: _____
 - f) Agencies responsible for the Temporary Assistance for Needy Families (TANF) agency (State and/or Tribal TANF agency): _____
 - g) Other: _____
- 8.4 A description of the public hearing process held to provide members of the Tribal community (or communities in the case of a Tribal consortium) an opportunity to comment on the proposed CCDF activities in the Tribe's Plan.
- _____
- 8.5 Definitions for Indian child and Indian reservation or Tribal service area. Tribes have broad latitude in defining these terms that are used to determine eligibility. A Tribes Child Count Declaration -- required in the annual CCDF application -- is based on the definition of these terms.
- a) Indian child: _____
 - b) Indian reservation or Tribal service area: _____

Part 2 - Quality and Health and Safety

- 8.6 A description of the Tribe's activities to provide consumer education, to increase parental choice, and to improve the quality and availability of child care, including:
- a) What are the Tribal Lead Agency's child care quality improvement goals? Describe: _____
 - b) How did the Tribal Lead Agency identify these goals? For example, did the Tribal Lead Agency conduct provider surveys or assessments that identified the need for quality improvements? _____
 - c) What are the steps that the Tribal Lead Agency will take toward meeting the overall child care quality improvement goals? _____



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d) Does the Tribal Lead Agency evaluate progress toward meeting the overall child care quality improvement goals?

No.

Yes. Describe: _____

8.7 If the Tribe offers direct services, a description of the Tribe's Health and Safety Requirements for all categories of care (center, group home, family and in - home) offered by the Tribe in the following areas:

a) Prevention and control of infectious disease (including immunizations): _____

b) Building and physical premises safety: _____

c) Health and safety training (including whether trainings are required during a preservice or orientation period or ongoing; which topics are required; and the minimum number of hours required): _____

d) Monitoring, if applicable: _____

e) Background Checks, if applicable: _____

In addition, if the Tribe elects to exempt relative providers (grandparents, great grandparents, aunts, uncles, or siblings who live in a separate residence from the child in care and/or in - home providers (care provided in the child's own home) from health and safety requirements, please indicate which providers if any are exempt.

8.8 If the Tribe offers direct services, a description of how the Tribal Lead Agency meets the requirement to maintain a record of substantiated parental complaints.

Part 3 - Child Care Services Offered Through Certificates

If the Tribe operates Tribal CCDF-Operated Center **only**, skip Part 3, and fill out Part 4.

8.9 A description of the child care services provided, including the categories of care offered (i.e. center-based, group home, family child care, and in-home care); information on any limits established on the use of in-home care (if applicable); and whether services are available throughout the Tribe's entire service area: _____

8.10 Definitions of the following terms for purposes of determining eligibility:

a) working: _____

b) attending a job training program: _____

c) attending an educational program: _____



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- d) residing with: _____
- e) *in loco parentis*: _____
- f) special needs child: _____
- g) physical or mental incapacity (if applicable): _____
- h) protective services (if applicable): _____

In addition, the Tribal Lead Agency must describe any additional eligibility criteria, priority rules, or definitions.

8.11 Definitions or criteria used by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care.

- a) appropriate child care: _____
- b) reasonable distance: _____
- c) unsuitability of informal child care: _____
- d) affordable child care arrangements: _____

In addition, the Tribal Lead Agency must describe how parents who receive TANF benefits are informed about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age.

8.12 The payment rates for child care services and a summary of the facts relied on by the Tribal Lead Agency to determine that the attached rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF and other governmental programs.

At a minimum the Tribal Lead Agency must:

- a) Include the date of the local market rate survey(s): _____
- b) Describe how the payment rates are adequate to ensure equal access based on the results of the required local market rate survey (i.e., the relationship between the attached payment rates and the market rates observed in the survey): _____
- c) Indicate if the payment rates are based on the State survey(s) and identify the State: _____

Note: A Tribal Lead Agency may base its payment rates on the State's market rate survey rather than conducting its own survey if the Tribe's reservation or tribal service area is included in the State's survey.



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

Tribe Median Income Matrix			
Based on <input type="checkbox"/> Tribal Median Income or <input type="checkbox"/> State Median Income: List State: _____			
Family Size	(a) 100% of GMI (For calculation purposes only) (\$/month)	(b) 85% of GMI (\$/month)	(c) If GMI is less than 85%, identify percentage: _____% (\$/month)
1	_____	_____	_____
2	_____	_____	_____
3	_____	_____	_____
4	_____	_____	_____
5	_____	_____	_____

8.14 A copy of a sliding fee scale that provides for cost sharing (co-payment) by families and is based on income and family size. A grantee may waive contributions from families whose incomes are at or below the poverty level for a family of the same size, or may apply different sliding fee scales.

Note: A Tribe cannot use Federal CCDF dollars to pay the parental contribution (co- payment) on behalf of an Indian family who is receiving a CCDF subsidy from a State or Tribe.

8.15 A description of how the Tribal Lead Agency ensures that parents have unlimited access to their children whenever their children are in the care of a provider.

Part 4 - Tribal CCDF-Operated Center

Those Tribal grantees that use CCDF funds to operate a center-based child care business are said to have a Tribal CCDF-Operated Center. The Tribe oversees all operations of the program: paying facility costs (e.g., rent and utilities), hiring and managing staff, purchasing equipment and supplies, and screening families for eligibility. Complete the section below if the Tribe operates a Tribal CCDF-Operated Center.

CCDF Plan Effective Date: **October 1, 2016**

Amended Effective Date: [Insert Date as Amended]



Plan for:

CHILD CARE & DEVELOPMENT FUND - Plan Period: 10/1/2016 – 9/30/2019

8.16 A description of the Tribal CCDF-Operated Center, including the types of services offered and the age groups served: _____

If the Tribe operates a subsidy program, in addition to a Tribal CCDF-Operated Center, then only fill out the questions that differ from Part 3.

If all of the responses below are the same as in Part 3 above, check the box, and skip to Part 5.

8.17 Definitions of the following terms for purposes of determining eligibility:

- i) working: _____
- j) attending a job training program: _____
- k) attending an educational program: _____
- l) residing with: _____
- m) *in loco parentis*: _____
- n) special needs child: _____
- o) physical or mental incapacity (if applicable): _____
- p) protective services (if applicable): _____

In addition, the Tribal Lead Agency must describe any additional eligibility criteria, priority rules, or definitions.

8.18 Definitions or criteria used by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care.

- e) appropriate child care: _____
- f) reasonable distance: _____
- g) unsuitability of informal child care: _____
- h) affordable child care arrangements: _____

In addition, the Tribal Lead Agency must describe how parents who receive TANF benefits are informed about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age.



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

Tribe Median Income Matrix			
Based on <input type="checkbox"/> Tribal Median Income or <input type="checkbox"/> State Median Income: List State: _____			
Family Size	(a) 100% of GMI (For calculation purposes only) (\$/month)	(b) 85% of GMI (\$/month)	(c) If GMI is less than 85%, identify percentage: _____% (\$/month)
1	_____	_____	_____
2	_____	_____	_____
3	_____	_____	_____
4	_____	_____	_____
5	_____	_____	_____

8.20 A copy of a sliding fee scale that provides for cost sharing (co-payment) by families and is based on income and family size. A grantee may waive contributions from families whose incomes are at or below the poverty level for a family of the same size, or may apply different sliding fee scales.

Note: A Tribe cannot use Federal CCDF dollars to pay the parental contribution (co-payment) on behalf of an Indian family who is receiving a CCDF subsidy from a State or Tribe.

8.21 A description of how the Tribal Lead Agency ensures that parents have unlimited access to their children whenever their children are in the care of a provider.

Part 5 - Appendices and Attachments

8.22 A signed CCDF Child Count Declaration.

Attachment #: _____



Plan for:

CHILD CARE & DEVELOPMENT FUND - Plan Period: 10/1/2016 – 9/30/2019

8.23 The attachment containing the CCDF Assurances and Certifications.

Attachment #: _____



Plan for:

CHILD CARE & DEVELOPMENT FUND - Plan Period: 10/1/2016 – 9/30/2019

APPENDIX 1

CHILD COUNT DECLARATION

Federal Fiscal Year: _____

Name of Tribe/Tribal Lead Agency: _____

This certifies that the number of Indian children under age 13 (as defined in CCDF Plan) who reside on or near the reservation or service area (as defined in CCDF Plan) is: _____ (number).

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

This count shows the number of Indian children under age 13 as of _____ (date).

Official Signature of Individual Authorized to Act for the Tribe

Date: ____/____/____

Print Name

Print Title



Plan for:

CHILD CARE & DEVELOPMENT FUND - Plan Period: 10/1/2016 – 9/30/2019

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

Federal Fiscal Year: _____

Name of Tribe/Tribal Lead Agency: _____

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

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

This count shows the number of Indian children under age 13 as of _____ (date).

_____ Date: ____/____/____

Official Signature of Individual Authorized to Act for the Tribe

Print Name

Print Title

REQUEST FOR REALLOTTED TRIBAL DISCRETIONARY FUNDS

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

Yes No

CCDF Plan Effective Date: **October 1, 2016**

Amended Effective Date: [Insert Date as Amended] _____



Plan for:

CHILD CARE & DEVELOPMENT FUND - Plan Period: 10/1/2016 – 9/30/2019

APPENDIX 2

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

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

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

The Tribal Lead Agency assures that:

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



Plan for:

CHILD CARE & DEVELOPMENT FUND - Plan Period: 10/1/2016 – 9/30/2019

The Tribal Lead Agency certifies that:

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



Plan for:

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APPENDIX 3

LIST OF CERTIFICATIONS

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

1. [Assurance of compliance with Title VI of the Civil Rights Act of 1964](#)
2. [Certification regarding debarment](#)
3. [HHS certification regarding drug-free workplace requirements](#)
4. [Certification of Compliance with the Pro-Children Act of 1994](#)

These certifications were obtained in the previous approved Plan and need not be collected again if there has been no change in the Tribal Lead Agency. If there has been a change in the Tribal Lead Agency, these certifications must be completed and submitted with the Plan. New Tribal Lead Agencies must submit all required Certifications.



Plan for:

CHILD CARE & DEVELOPMENT FUND - Plan Period: 10/1/2016 – 9/30/2019

APPENDIX 4

AMENDMENTS LOG

Child Care and Development Fund Plan
For the period: 10/1/2016 – 9/30/2019

Tribal Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a “substantial” change in the Tribal Lead Agency’s approved CCDF plan occurs. Please refer to the [ACF Program Instruction regarding CCDF Plan amendments](#) for more information.

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

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

Instructions:

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

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

CCDF Plan Effective Date: **October 1, 2016**

Amended Effective Date: [Insert Date as Amended]

