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| <h1>ACF</h1>  | <b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>  |  |
| <b>Administration<br/>For Children<br/>And Families</b> | <b>1. Log No:</b> CCDF-ACF-PI-2011-02  | <b>2. Issuance Date:</b> June 10, 2011 |
|   | <b>3. Originating Office:</b> Office of Child Care   |  |
|   | <b>4. Key Words:</b> Child Care and Development Fund (CCDF) Fiscal Year 2012 Funding; Application and Plan Requirements to Consolidate CCDF Under a 102-477 Indian Employment, Training, and Related Services Plan |  |

**CHILD CARE AND DEVELOPMENT FUND  
PROGRAM INSTRUCTION**

**To:** Tribal Lead Agencies consolidating child care programs under Public Law (Pub. L.) 102-477. This Program Instruction only applies to tribes currently operating or planning to operate an employment, training, and related services program under Pub. L. 102-477.

**Purpose:** To provide information on the procedures to consolidate the Child Care and Development Fund (CCDF) program with other employment and training funding sources under a Pub. L. 102-477 Plan.

**References:** The Child Care and Development Block Grant Act of 1990 (CCDBG) as amended (42 U.S.C. 9858 *et seq.*); section 418 of the Social Security Act (42 U.S.C. 618); 45 CFR Parts 98 and 99; and the Indian Employment, Training, and Related Services Demonstration Act of 1992, as amended (Pub. L. 102-477) (25 U.S.C 3401 *et seq.*).

**Background:** The Indian Employment, Training, and Related Services Demonstration Act of 1992, as amended (Pub.L. 102-477) was enacted to:

- Demonstrate how Indian tribal governments can integrate the employment, training, and related services they provide in order to improve the effectiveness of those services;
- Reduce joblessness in Indian communities;
- Foster economic development on Indian lands; and
- Serve tribally determined goals consistent with the policies of self-determination and self-governance.

In accordance with Pub.L. 102-477, eligible tribal applicants may choose to streamline tribal services by submitting a consolidated plan for employment, training, and related services to the U.S. Department of the Interior (DOI). Eligible applicants may include the Child Care and Development Fund (CCDF) in their 102-477 Plan. The CCDF is comprised of two funding sources:

- Discretionary Funds – funding that is provided under the Child Care and Development Block Grant (CCDBG) Act, as amended; and

- Tribal Mandatory Funds – funding that is provided to eligible tribes and tribal organizations under Section 418 of the Social Security Act.

Tribes that elect to consolidate their CCDF funds under a 102-477 Plan are required to operate comprehensive CCDF programs. By applying for CCDF funds, a tribe agrees to follow the provisions of the CCDBG Act of 1990, as amended, and applicable regulations at 45 CFR 98 and 99, including the obligation and liquidation periods at 45 CFR 98.60(e). However, in contrast to the required CCDF application and plan process, tribes that consolidate CCDF funds under a 102-477 Plan are permitted to submit abbreviated applications and plans for CCDF funding.

**CCDF Tribal  
102-477 Eligibility:**

Pursuant to 45 CFR 98.62, a tribe is eligible to receive CCDF funds if the tribe is federally recognized and the tribal population includes at least 50 children under age 13.

A tribe with fewer than 50 children under age 13 may participate in a consortium of eligible tribes. In order to be eligible to receive CCDF funds on behalf of its member tribes, a consortium must:

- Consist of tribes that meet the eligibility requirements for the CCDF program or that would meet the eligibility requirements if the tribe had at least 50 children under age 13; and
- Demonstrate it has authorization from each participating tribe to receive CCDF funds on behalf of the tribe.

**Membership Changes** – It is the responsibility of a tribal consortium to notify the Administration for Children and Families (ACF) of any changes in its membership for CCDF funding purposes during the approved plan period. For example, if a new tribe joins a tribal consortium to receive Fiscal Year (FY) 2012 CCDF funds, or if a current tribal consortium member elects not to receive FY 2012 CCDF funds through that tribal consortium, these changes must be conveyed to ACF in writing by the tribal consortium.

**The 102-477  
Process:**

To receive CCDF funding under a consolidated 102-477 Plan, all tribal grantees and tribal applicants must: 1) be eligible to receive CCDF funding (see Eligibility Section of this Program Instruction); and 2) have submitted a consolidated 102-477 Plan to DOI that includes the CCDF program. Although 102-477 Plans cover multi-year periods, current 102-477 grantees and new tribal applicants must apply annually for CCDF funds by submitting a Child Count Declaration.

**Annual 102-477  
Application  
Requirement:**

An annual Child Count Declaration (Pub. L. 102-477 Tribes) (Attachment A) must be submitted to receive FY 2012 CCDF funds. By submitting a signed Child Count Declaration, the tribe is making application for FY 2012 CCDF funds.

By applying for FY 2012 CCDF funds, a tribe agrees to follow the provisions of the CCDBG Act and applicable regulations at 45 CFR Parts 98 and 99.

Current grantees that apply for FY 2012 funds continue to be required to meet the assurances and certifications provided in the 102-477 Plan for the

remainder of the plan period. A new tribal applicant must include the required assurances and certifications as part of its plan submittal (see Attachment B).

## **Tribal Counts**

ACF will calculate grant awards based on a self-certified Child Count Declaration for the number of children under age 13 (i.e., up through age 12) who reside on or near the reservation or service area. Because the definitions for “Indian child” and “reservation/service area” help determine the tribal grant award amounts, please keep in mind the following information as you prepare annual tribal child counts for CCDF funds:

- Tribal Lead Agencies have flexibility in defining “Indian child,” and may include children from other tribes, provided that such tribes are federally recognized, consistent with the CCDBG Act’s definition of Indian tribe.
- “Service area” must be “on or near the reservation,” and therefore must be within a reasonably close geographic proximity to the delineated borders of a tribe’s reservation (with the exception of tribes in Alaska, California, and Oklahoma). Tribes that do not have reservations must establish service areas within reasonably close geographic proximity to the area where the tribe’s population resides. ACF will not approve an entire State as a tribe’s service area.

The Child Count Declaration must certify the number of Indian children (as defined in the CCDF section of the 102-477 Plan), under age 13, who reside on or near the reservation or service area. The Child Count Declaration is provided as Attachment A.

**Special Instructions for Tribal Consortia:** Individual Child Counts Required - A tribal consortium must submit an Individual Child Count Declaration, signed by an individual authorized to act for the tribe, for each tribal member in a tribal consortium. A tribal consortium must also provide a summary section listing each member tribe's name and child count and the total child count for all member tribes.

**PLEASE BE ADVISED:** 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.

Tribal Lead Agencies are advised that ACF will not accept Child Count Declarations that are based on counts that were included prior to July 1 of the previous year. For FY 2012 funding, the child count of children under age 13 must be completed **no later than** June 30, 2011, and no earlier than July 1, 2010.

## **Special Rule for Indian Tribes in Alaska**

Only the Metlakatla Indian Community of the Annette Islands Reserve and the 12 Alaska Native Regional Nonprofit Corporations are eligible to receive Tribal Mandatory Funds.

Alaska Native Regional Nonprofit Corporations will have to provide a separate child count certification for Discretionary Funding purposes. This

count will consist of its self-certified Tribal Mandatory Funding count, minus the child count number for any Alaska tribal grantee in its Region that applies directly for Discretionary Funding. In instances where a Regional Corporation has separate child counts for Discretionary and Tribal Mandatory Funds, both counts may be reported on the Child Count Declaration (Attachment A).

**102-477 Plan Requirements:**

The CCDF program may be incorporated into a Pub.L. 102-477 Plan that covers multi-year periods. If an applicant elects to include CCDF in a consolidated 102-477 Plan, the following CCDF requirements must be included in the 102-477 Plan:

1. A statement of intent to administer the CCDF program under a Pub. L. 102-477 consolidated plan.
2. A description of how the CCDF services will be integrated and delivered with the employment and training programs included in the 102-477 Plan, and the results expected.
3. The agency or agencies of the tribal government (or tribal consortium) to be involved in the delivery of CCDF services under the plan. Note: if the CCDF Lead Agency changes during the approved plan period, the grantee must submit a written notification of this change to DOI.
4. A description of results of the Tribal Lead Agency coordination activities with agencies responsible for: 1) health (including the agency responsible for immunizations), 2) education, 3) employment services or workforce development, and 4) the Temporary Assistance for Needy Families (TANF) agency (State and/or Tribal TANF agency).
5. 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 under the consolidated 102-477 Plan.
6. A copy of 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: 1) include the date of the local market rate survey(s); 2) 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); 3) indicate if the payment rates are based on the State survey(s) and identify the State; and 4) Non-exempt tribes must explain how the choice of the full range of providers is made available to parents if the payment rates do not reflect individual rates for the full range of providers -- center-based, group home, family and in-home care.

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.

7. Indicate if the tribe's definition of Grantee Median Income (GMI) is based on Tribal Median Income or State Median Income and complete column (a) of the matrix below. Complete column (b) below ONLY if the Tribal Lead Agency is using income eligibility limits lower than 85 percent of GMI.

| <b>Family Size</b> | <b>(a)<br/>85% of GMI<br/>(\$/month)</b> | <b>(b)<br/>Income Level,<br/>lower than 85%<br/>GMI, if used to<br/>limit eligibility<br/>(\$/month)</b> |
|--------------------|--|--|
| <b>1</b>           |  |  |
| <b>2</b>           |  |  |
| <b>3</b>           |  |  |
| <b>4</b>           |  |  |
| <b>5</b>           |  |  |

8. A copy of a sliding fee scale that provides for cost sharing 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.)
9. Definitions for 1) Indian child, and 2) Indian reservation or tribal service area. Tribes have broad latitude in defining these terms that are used to determine eligibility. An applicant's Child Count Declaration -- required in the annual CCDF application -- is based on the definition of these terms.
10. Tribes are asked to provide answers to the following questions when providing a narrative description of their quality efforts. How does the tribe learn about the quality of care currently offered? What are the training and technical assistance needs of providers? Describe the quality improvement activities the tribe intends to implement during this application period. Describe the tribe's goals for improving the quality of care in its program.
11. Descriptions must be included regarding 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 follow areas: prevention and control of infectious disease, including immunizations; building and physical premises safety; and health and safety training. 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.

12. Any statutory provisions, regulations, policies, or procedures that the tribe requests to be waived.
13. A consortium must 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.

**Plan Waivers:**

Section 7 of Pub. L. 102-477, as amended, authorizes the Secretary of the Department of Health and Human Services to waive any statutory provision, regulation, policy, or procedures requested by a tribe, as long as the waiver is consistent with the purpose of Pub. L. 102-477 or with provisions of the CCDBG Act.

To obtain a waiver, the 102-477 Plan must:

- Identify the specific statutory provision, regulation, policy, or procedure;
- Justify the need for the waiver; and
- Explain what the tribe will use to replace the existing statutory provision, regulation, policy, or procedure, if applicable.

Waivers will be granted on a case-by-case basis for each plan. Decisions regarding waivers are wholly at the discretion of the Secretary. Blanket waiver requests are not acceptable. See Attachment C for a list of statutory and regulatory requirements that will not be waived.

**Plan Approvals:**

ACF's approval is contingent on several factors, including:

- Receipt of complete plans, and ACF's requested revisions, if applicable, in a timely fashion; and
- Have no outstanding CCDF program (ACF-700) or financial (ACF- 696-T) reports (applicable only to those tribes submitting initial 102-477 Plans).

**Exempt vs. Non-Exempt:**

ACF recognizes that a number of small CCDF grantees do not have the necessary infrastructure to support certain CCDF requirements, such as a certificate program. Similarly, in many small rural communities child care options are often limited. Consequently, additional flexibility has been provided for smaller tribes and tribal organizations by "exempting" them from certain CCDF requirements (see 45 CFR 98.83(f)).

Tribal Lead Agencies with CCDF allocations equal to or greater than \$500,000 for a fiscal year are considered non-exempt grantees. Non-exempt Tribal Lead Agencies must: 1) use for quality activities at least 4 percent of the aggregate CCDF funds expended for a fiscal year, and 2) operate a

certificate program that offers parental choice from a full range of providers (i.e., center-based, group home, family and in-home care).

A Tribal Lead Agency that moves from the exempt to non-exempt category has a phase-in period of 1 year to meet the CCDF non-exempt requirements. The 1 year period begins with the issuance date of the grant award letter indicating that a tribe's final allocation is equal to or greater than \$500,000. A non-exempt Tribal Lead Agency must describe how it is meeting non-exempt requirements in its 102-477 Plan.

**Funding Estimates  
and Allocation  
Formulas:**

Grants from Discretionary Funds will include a base amount of \$20,000 plus a per child amount for each tribe or tribal consortium with a minimum of 50 children. Grants from Tribal Mandatory Funds are calculated solely on a per child basis and do not include a base amount.

Since the per child amount for both Discretionary and Tribal Mandatory Funds depends upon the total number of children in all participating tribes, ACF cannot calculate in advance the exact per child amount. Furthermore, the total amount of CCDF funding that will be appropriated for FY 2012 is unknown at this time. However, tribes and tribal organizations may use the FY 2011 Tribal Allocation Chart (see Attachment D) as a guide. A new applicant should use the base amount plus approximately \$50 per child to estimate its allotment for Discretionary Funding, and should use approximately \$90 per child to estimate its allotment for Tribal Mandatory Funding.

A tribal consortium should estimate its allotment for Discretionary Funding for each of its members by calculating a portion of the base amount that is equivalent to the ratio of the number of children in each member tribe to 50, plus the additional per child amount. For example, a tribe with 49 children is allotted 49/50ths of \$20,000, or \$19,600. The per child amount is then multiplied by 49 and added to the \$19,600 base amount.

Important Note: These amounts are provided for the purpose of estimating the allotments that will become available beginning October 1, 2011, and may increase or decrease when funding appropriations and updated data become available before the final grant awards are issued.

**Discretionary  
Targeted Funds:**

The FY 2012 allocations may include targeted funds for school-age care and resource and referral activities. This amount must be spent on resource and referral activities and/or school-age care. The amount of targeted funds for resource and referral activities and school-age care is based on \$500 per tribe plus a per child amount. Further information about the targeted funds will be included on final allocation tables posted on the Office of Child Care website.

Note to Non-Exempt Tribal Lead Agencies: The targeted funds are to be used in addition to the "not less than 4 percent" required to be spent on activities that improve the quality and availability of child care.

**Administrative  
Costs:**

Tribal Lead Agencies are reminded that no more than 15 percent of the aggregate CCDF funds expended from each year's allotment may be used for administrative costs. Tribal Lead Agencies are advised to review the CCDF regulations at 45 CFR 98.52 for a discussion of administrative costs.

Note: the Discretionary Funds base amount is neither subject to the 15 percent limitation, nor included in the calculation for the 15 percent limitation.

**Construction and Renovation Under a 102-477 Plan:**

In order to use CCDF funds for construction or major renovation projects, all tribes receiving CCDF funds -- including Tribes with approved 102-477 Plans -- are required to follow ACF's construction and renovation application procedures (Program Instruction CCDF-ACF-PI-2010-03). This Program Instruction is available on the Office of Child Care's website at: <http://www.acf.hhs.gov/programs/occ/law/guidance/current/pi2010-03/pi2010-03.htm>. Early in the planning process, tribes are advised to contact their appropriate ACF Regional Office (Attachment E). If a tribe constructs or renovates more than one facility, it must seek ACF approval for each project (even if the projects use identical plans and specifications).

**Deadlines:**

All CCDF Child Count Declarations (and plans, if applicable) must be postmarked or hand delivered to the U.S. Department of the Interior no later than July 1, 2011. Any applications and plans postmarked after that date will not be accepted. Faxed copies will not be accepted.

**Electronic Format:**

The required Child Count Declaration is available in electronic format from ACF Regional Offices (see Attachment E) and on the Office of Child Care's website at: [http://www.acf.hhs.gov/programs/ccb/law/tribal\\_topic\\_application.htm](http://www.acf.hhs.gov/programs/ccb/law/tribal_topic_application.htm).

**Submitting the Materials:**

The original and 1 copy of the materials must be mailed or hand-delivered to:

An additional copy must also be sent to:

U.S. Department of the Interior  
Office of Indian Energy and Economic Development  
Division of Workforce Development  
1951 Constitution Ave., NW  
Mail Stop 20 SIB  
Washington, DC 20240

Tribal Technical Assistance Center  
c/o Native American Management Services, Inc.  
re: CCDF 2010 -2011 Tribal Plans  
12110 Sunset Hills Road, Suite 450  
Reston, VA 20190

Note: ACF's Tribal Child Care Technical Assistance Center (TriTAC) is only serving as a receipt point for materials. ACF will conduct the review and approval of Tribal FY 2012 CCDF funding applications and/or plans.

**Reporting Requirements:**

CCDF tribal grantees with an approved 102-477 Plan will receive their CCDF funding through DOI. Therefore, program and financial reporting of CCDF funds awarded under a 102-477 consolidated plan will be made to DOI.

However, the expenditure and obligation of all CCDF funds awarded prior to a 102-477 Plan approval will continue to be reported to ACF on the ACF-696T financial reporting form. Similarly, program data on CCDF funds awarded prior to a 102-477 Plan approval must be reported on the ACF-700 data reporting form.

**Obligation and Liquidation Periods:**

Tribal Lead Agencies must obligate FY 2012 Tribal Mandatory and Discretionary Funds by September 30, 2013, and liquidate all funds by

September 30, 2014 (with the exception of any FY 2012 CCDF funds approved by ACF for construction or major renovation, which must be obligated and liquidated by September 30, 2014).

**Reallotted  
Discretionary  
Funds:**

102-477 Lead Agencies are required to notify ACF by April 1, 2012, if they will be unable to obligate any portion of their FY 2011 CCDF Discretionary Funds allotment by September 30, 2012. In accordance with 45 CFR 98.64(d), any portion of a tribe's allotment of Discretionary Funds that is not required to carry out its plan in the period for which the allotment is made available shall be reallotted to other tribal grantees in proportion to their original allotments.

If the total amount available for reallotment from all tribal CCDF grantees is \$25,000 or more, funds will be reallotted to other tribal grantees. If the total available is less than \$25,000, no reallotment will take place, and funds will revert to the Federal Government. If an individual reallotment amount to a tribe is less than \$500, a reallotment award will not be issued to that tribe. If a tribal CCDF grantee does not submit a reallotment report by the April deadline, a determination will be made that no funds are available for reallotment. Any funds reported to be available for reallotment after the April deadline shall revert to the Federal Government.

**Application Process to Receive Reallotted Funds**

Should FY 2011 Discretionary Funds become available for reallotment, the 102-477 Tribal Lead Agency must inform ACF whether or not it would like to receive these funds by checking either "Yes" or "No" in the "Request for FY 2011 Reallotted Tribal Discretionary Funds" box on Attachment A.

**CCDF Withdrawal  
from 102-477 Plan:**

If a tribe decides to withdraw CCDF from an approved 102-477 Plan, the Tribal Chair must submit a letter to the 102-477 Lead Agency at DOI (with a copy to the Office of Child Care). The letter must indicate that the tribe has decided to withdraw its CCDF funds from its existing 102-477 Plan, and it must specify the tribe's approved 102-477 Plan period.

Please note that the withdrawal will become effective no sooner than the beginning of the following fiscal year. In order to directly receive CCDF funding outside of 102-477 in fiscal year 2012, a tribe must submit the required letter from the Tribal Chair (described above), as well as a completed CCDF Tribal Plan Preprint, no later than July 1, 2011 (see: <http://www.acf.hhs.gov/programs/occ/law/guidance/current/pi2011-01/pi2011-01.htm>). If approved, the new CCDF plan will cover a 2-year period of October 1, 2011, to September 30, 2013 (consistent with the current plan period for all CCDF tribal plans). CCDF will remain as part of the tribe's approved 102-477 Plan through September 30, 2011.

**Audits:**

As indicated at 45 CFR 98.65, each CCDF Lead Agency is subject to audit requirements in accordance with Office of Management and Budget (OMB) Circular A-133 and the Single Audit Act Amendments of 1996. Tribes that consolidate CCDF under Pub. L. 102-477 will be audited based on requirements in the A-133 Compliance Supplement for the Child Care and Development Block Grant (CFDA 93.575) and Child Care Mandatory and Matching Funds of the Child Care and Development Fund (CFDA 93.596).

**Paperwork  
Reduction Act:**

An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The information collection required under this Program Instruction is approved under OMB Number 0970-0198, which expires May 31, 2014.

**Inquiries:**

Questions related to the CCDF program should be directed to the appropriate ACF Regional Office (Attachment E). For questions about completing a consolidated 102-477 Plan, please contact Francis Dunne at (202) 495-9843 or (202) 219-5270 at the U.S. Department of the Interior, Office of Indian Energy and Economic Development.

/s/

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Shannon L. Rudisill  
Director  
Office of Child Care

Attachments:

A – 102-477 Child Count Declaration

B – List of Assurances and Certifications

C - CCDF Statutory and Regulatory Requirements That Will Not Be Waived

D - FY 2011 Tribal Allocation Chart

E - ACF Regional Offices

Attachment A

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

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

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

This count shows the number of Indian children under age 13 as of \_\_\_\_\_.

Date

\_\_\_\_\_  
Signature of Individual Authorized to  
Act for the Tribe/Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Type or Write Name/Title

\_\_\_\_\_  
Federal Fiscal Year  
<insert appropriate FY>

**REQUEST FOR REALLOTTED TRIBAL DISCRETIONARY FUNDS**

The Tribal Lead Agency named above requests Discretionary Funds that may be available through the reallocation process.

\_\_\_\_\_ Yes

\_\_\_\_\_ No

## Attachment B

### Assurances and Certifications

The applicant Tribe or tribal consortium 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 (the Act), Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b) of the Act, 658E(a) of the Act, 45 C.F.R. 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) of the Act, 45 C.F.R. 98.2, 45 C.F.R. 98.30, 45 C.F.R. 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 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) of the Act, 45 C.F.R. 98.15(a)(3), 45 C.F.R. 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) of the Act, 45 C.F.R. 98.15(a)(4), 45 C.F.R. 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 Lead Agency(ies) in the State(s) in which the child care programs or activities will be carried out. (45 C.F.R. 98.12, 45 C.F.R. 98.14(a)&(b), 45 C.F.R. 98.81(b)(3)(i), 45 C.F.R. 98.82)
- (6) Tribal Child Care and Development Fund 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). (45 C.F.R. 98.81(b)(3)(ii), 45 C.F.R. 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 Child Care and Development Fund will not significantly restrict parental choice from among categories of care or types of providers. ((658E(c)(2)(A) of the Act, 45 C.F.R. 98.15(a)(5), 45 C.F.R. 98.15(p), 45 C.F.R. 98.30(e)&(f), 45 C.F.R. 98.40(b)(2), 45 C.F.R. 98.41(b), 45 C.F.R. 98.43(d), 45 C.F.R. 98.45(d))

## Page 2 - Assurances and Certifications

The applicant Tribe or tribal consortium also 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 afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operation and whenever such children are in the care of such providers. (658E(c)(2)(B) of the Act, 45 C.F.R. 98.15(b)(1), 45 C.F.R. 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) of the Act, 45 C.F.R. 98.15(b)(2), 45 C.F.R. 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) of the Act, 45 C.F.R. 98.15(b)(3), 45 C.F.R. 98.33)
- (4) There are in effect licensing requirements applicable to child care services provided within the State (or area served by the tribal Lead Agency), pursuant to 45 C.F.R. 98.40. (45 C.F.R. 98.15(b)(4), 45 C.F.R. 98.40)
- (5) There are in effect, under tribal, local or State law, requirements 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 Child Care and Development Fund. (658E(c)(2)(F) of the Act, 45 C.F.R. 98.15(b)(5), 45 C.F.R. 98.41)
- (6) Procedures are in effect to ensure that child care providers that provide services for which assistance is provided under the Child Care and Development Fund comply with all applicable health and safety requirements. (658E(c)(2)(G) of the Act, 45 C.F.R. 98.15(b)(6), 45 C.F.R. 98.41)
- (7) Payment rates under the Child Care and Development Fund 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) of the Act, 45 C.F.R. 98.15(b)(7), 45 C.F.R. 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 that Fiscal Year. (45 C.F.R. 98.67(c))

## Statutory and Regulatory Requirements That Will Not be Waived

**The following are the CCDF statutory and regulatory requirements that will not be waived under a consolidated 102-477 plan.**

1. Grantees will coordinate, to the maximum extent feasible, with the Lead Agency (ies) in the State(s) in which the child care programs or activities will be carried out.  
(658O(c)(2)(A) of the Act, 45 C.F.R. 98.12, 45 C.F.R. 98.14(a)&(b), 45 C.F.R. 98.81(b)((3)(1), 45 C.F.R. 98.82)
  2. Grantees must describe the results of the Lead Agency's coordination activities with agencies responsible for health (including the agency responsible for immunizations), education, employment services or workforce development, and the State TANF agency and/or tribal TANF agency – if the Tribe is operating its own TANF program.  
(45 C.F.R. 98.14(a), 45 C.F.R. 98.16(d))
  3. With the exception of applicants located in Alaska, California, or Oklahoma, CCDF programs and activities will be carried out for the benefit of Indian children on Indian reservations.  
(658O(c)(2)(B) of the Act, 45 C.F.R. 98.81(b)(3)(ii), 45 C.F.R. 98.83(b))
  4. Applicants must demonstrate the administrative capability to successfully administer the proposed program in their initial plan.  
(658O(c)(3)(B) of the Act)
  5. Grants and/or contracts are limited to a period of no more than 3 years.  
(658O(c)(4) of the Act)
  6. Funds may not be used for the purchase or improvement of land.  
(658F(b)(1) of the Act, 45 C.F.R. 98.54(b)(1))
  7. Funds may not be used to pay for tuition or to contract for sectarian activities including worship or instruction.  
(658M of the Act, 45 C.F.R. 98.54(c)&(d))
  8. Applicants must assure they will comply with provisions regarding a drug-free workplace, nondiscrimination, section 504 of the Rehabilitation Act of 1973, Education Amendments, and Age Discrimination Act of 1975, as amended at 45 CFR part 91.  
(45 C.F.R. 98.13(b)(5))
- Note: Since these certifications and assurances are required as part of the consolidated 102-477 plan, they do not need to be submitted with the CCDF application.
9. At least one public hearing must be held by Tribes to allow for public comment.  
(45 C.F.R. 98.14(c))
  10. Grantees shall establish, and periodically revise a sliding fee scale(s) that provides for cost sharing by families, and is based on income and family size. Grantees may waive contributions and may apply different sliding fee scales.  
(658E(c)(5) of the Act, 45 C.F.R. 98.42)

## Statutory and Regulatory Requirements That Will Not be Waived

**The following are the CCDF statutory and regulatory requirements that will not be waived under a consolidated 102-477 plan.**

11. For grantees that receive \$500,000 or more in CCDF funding for a year, the grantee must spend no less than 4 percent from each fiscal year's allotment for quality activities that are designed to provide comprehensive consumer education to parents and the public, activities that increase parental choices, and activities designed to improve the quality and availability of child care such as resource and referrals services [(658G) of the Act, 45 C.F.R. 94.51].
12. There are in effect, under tribal, local or State law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which CCDF assistance is provided. These requirements shall include the prevention and control of infectious diseases (including immunizations); building and physical premises safety; and minimum health and safety training appropriate to the provider setting.  
(45 C.F.R. 98.41(a))
13. Grantees must submit a request to the Secretary of the Department of Health and Human Services, in accordance with uniform procedures, to use funds for construction and renovation purposes. Funds may not be used for construction or major renovation of child care facilities until the Tribe's 102-477 scope of work has been modified to allow for construction or major renovation.  
(658O(c)(6)(C) of the Act, 45 C.F.R. 98.84(a)&(b))
14. Grantees are not permitted to use amounts for construction or renovation purposes if such use will result in a decrease in the level of services provided by the grantee in the preceding fiscal year.  
(658O(c)(6)(C) of the Act, 45 C.F.R. 98.84(b)(3))
15. Not more than 15 percent of the aggregate CCDF funds expended by a Tribal Lead Agency from each fiscal year (including amounts used for construction and renovation in accordance with 45 C.F.R. 98.84, but not including the base amount provided under 45 C.F.R. 98.83(e)) shall be expended for administrative activities. Amounts used for construction and major renovation in accordance with 45 C.F.R. 98.84 are not considered administrative costs.  
(45 C.F.R. 98.52(b), 45 C.F.R. 98.83(g))
16. Grantees' fiscal and accounting procedures shall be sufficient to permit the preparation of required reports and the tracing of expenditures to a level of expenditure adequate to establish that such funds have not been used in violation of 45 C.F.R. 98 Subpart G.  
(45 C.F.R. 98.67(c))