CHILD CARE AND DEVELOPMENT FUND

For

Tribe:

FFY 2012-2013

This Plan describes the CCDF program to be administered by the Tribes for the period 10/1/2011 – 9/30/2013. 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.

Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. 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.

(Form ACF 118-A; OMB Approval Number: 0970-0198, expires 05/31/2014)

CCDF Plan Effective Date: October 1, 2011
Amended Effective: [Insert Date as Amended] _____

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Part 1 – Administration

This section provides information on how the CCDF program is administered, including the designated Tribal Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and procedures.

Section 1.1. Contact Information

1.1.1. Official Name of Tribe as listed in the Federal Register or Tribal Consortium

Name of the Tribe: _____
Name of Tribal Chair/President/Leader: _____
Title: _____
Address: _____
City, State, Zip Code: _____
Telephone Number: _____
Fax Number: _____

1.1.2. What is the Lead Agency designated by the Tribe or Tribal consortium to administer the CCDF program?

The agency shown below has been designated by the Tribe or Tribal consortium to represent the Tribe or Tribal organization as the Tribal Lead Agency. The Tribal Lead Agency agrees to administer the program in accordance with applicable Federal laws, regulations and in accordance with provisions of this Plan, including assurances and certifications appended hereto. (658D, 658E) See CCDF Assurances and Certifications (Appendix 1)

Name of Lead Agency: _____
Address of Lead Agency: _____
City, State, Zip Code: _____
Phone Number: _____
Fax Number: _____
Email Address and/or Web Address for Lead Agency: _____

1.1.3. Who is the CCDF administrator?

Identify the CCDF Administrator, the day-to-day contact, with responsibility for administering the CCDF program. This person(s) will serve as the primary contact for ACF. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator or entity with administrative responsibilities and include contact information. (98.16(a) and (c)(1))

a) Contact Information for CCDF Administrator:

Name of Tribal CCDF Administrator: _____
Title of Tribal CCDF Administrator: _____
Address of Tribal CCDF Administrator: _____
Phone Number: _____
Public Phone Number (if different than above): _____
Fax Number: _____
Email Address: _____

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

Name of Tribal CCDF Co-Administrator: _____
Title of Tribal CCDF Co-Administrator: _____
Address of Tribal CCDF Co-Administrator: _____
Phone Number: _____
Fax Number: _____
Email Address: _____

Description of the role of the CCDF Co-Administrator: _____

Section 1.2. Administration through Contracts or Agreements

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

Reminder: A consortium is not considered a non-governmental entity for purposes of this section, but an entity of the Tribe.

1.2.1. Will the Tribal Lead Agency directly administer and implement all programs funded under the Child Care and Development Fund? (98.16(c)(1)

☐ Yes, the Tribal Lead Agency will administer and implement all of the programs funded with CCDF funds. (If Yes, go to Section 1.3.1)

☐ No, the Lead Agency will not directly administer and implement ALL programs funded under the CCDF allocations. List the names of those agencies under the two options provided.

a) Provision of child care services, including the payment to child care providers.

Table 1.2.1.a. Name and Contact Information for Provision of Child Care Services			
Name of Administrative Entity:			
_____			
Address of Administrative Entity:			
_____			
Name and Title of the Administrator:			
_____			
Telephone:	(_____) _____ - _____ Ext: _____	Fax Number:	(_____) _____ - _____
Email Address:	_____		

b) Activities to improve the quality of child care described in <u>Part 5</u> of this Plan, if applicable.

Table 1.2.1.b. Name and Contact Information for Quality Child Care Activities			
Name of Administrative Entity:			
_____			
Address of Administrative Entity:			
_____			
Name and Title of the Administrator:			
_____			
Telephone:	(_____) _____ - _____ Ext: _____	Fax Number:	(_____) _____ - _____
Email Address:	_____		

1.2.2. How will the Tribal Lead Agency maintain overall control of the CCDF-funded program administered and implemented by the entities other than the Tribal Lead Agency?

Describe: _____

Reminder: These descriptions should be 1-2 paragraphs or less and should provide sufficient detail to enable a reader to understand how this process works or will work.

Section 1.3. Estimated Funding

These are preliminary ESTIMATES for information and planning purposes and may increase or decrease once the final grant awards are issued. Put in the amounts of the total FY 2012 CCDF allocations (mandatory and discretionary) for the **one-year period (10/1/2011 thru 9/30/2012)** that will be available on all child care and related services including funds for direct services, non-direct services, administration, and quality. Do not include any carry-over funds, unobligated and/or unliquidated CCDF balances from previous years.

1.3.1. Estimated FY 2012 CCDF Funding Allocation

What is your expected level of funding for the first year of the FY 2012 – FY 2013 plan period? The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2011 through September 30, 2012. (98.13(a))

$_____ Estimated Federal Child Care & Development Fund

$_____ Other available funding

Reminder: Total administrative expenditures over the entire three-year liquidation period may not exceed 15% of total expenditures, not including the base amount.

1.3.2. Estimated Amount of Funds to be used for Construction or Renovation

This Application does not give approval to spend funds on construction or renovation. Funds for this purpose cannot be spent until a Tribe has applied for and received approval, through a separate application process, from the Administration for Children and Families.

As a part of the separate construction/renovation application process, a Tribe must show that adequate facilities are not otherwise available to carry out child care programs, and that the lack of facilities will inhibit future program operations. Furthermore, a Tribe cannot reduce the level of child care services, as compared to the preceding fiscal year, in order to spend funds on construction or renovation. Procedures regarding the separate construction/renovation application process are contained in CCDF-ACF-PI-2010-03, dated April 7, 2010 and regulations at 45 CFR 98.2 and 98.84.

Will the Tribal Lead Agency use 2012 funds for construction?

☐ Yes. The Tribal Lead Agency estimates that the following amount of CCDF funds awarded in FY 2012 will be used for construction or renovation purposes:

$ _____ (Insert the amount you will set aside for construction from FY 2012 allocation).

☐ No.

Section 1.4. Indian Child and Indian Reservation or Service Area

1.4.1. Child Count

The Tribal Lead Agency determines the number of Indian children, under age 13, who reside on or near the reservation, or service area. **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))

Complete and attach the "Child Count Declaration" at Appendix #2.

1.4.2. Indian Child

Identify which Indian child(ren) will be counted in your child count. (658O(c)(2)(B), 98.80(e), 98.81(b)(2)(i) and (ii), 98.81(b)(3)(ii), 98.81(b)(4))

Reminder: While Tribes 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.

The Tribal Lead Agency defines Indian child as: _____

1.4.3. Indian Reservation or Service Area

Programs and activities are to be carried out for the benefit of Indian children living on or near the Indian reservation. The service area therefore must be within a reasonably close geographic proximity to the 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. (658O(c)(2)(B), 98.80(e), 98.81(b)(2)(i) and (ii), 98.81(b)(3)(ii), 98.83(b))

Reminder: Tribes can limit services within the reservation boundaries or can go beyond the reservation boundaries (Example: "permanent residence is within the reservation boundaries, however the participant is attending school outside of the reservation area", or "resides within 20 miles of the reservation boundaries", etc.).

The Tribal Lead Agency defines the Service Area as: _____

Section 1.5. Consortium

A consortium representing more than one Indian Tribe may be eligible to receive CCDF funds on behalf of a particular Tribe. The Consortium Lead Agency must list all participating Tribes and include an attachment with separate demonstrations (i.e. resolutions) from each Tribal consortium member indicating that the consortium has the authority to seek funding on behalf of its constituent Tribes. **If there is any change in the consortium membership, the Tribal Lead Agency must notify ACF through an amendment to the Plan.**

1.5.1. Are you a Tribal Consortium?

☐ Yes. If yes, a Tribal consortium must provide a list of its participating member Tribes and include demonstrations; for example, Tribal Resolutions from these participating members indicating that the consortium has the authority to seek funding on their behalf. (98.80(c)(1), 98.81(b)(8)(i))

These demonstrations are provided as Attachment (Enter Attachment #:_____).

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

☐ No. Skip to 1.6

1.5.2. A Tribal consortium must describe how it coordinates services on behalf of its participating member Tribes. Include a brief summary of how the consortium is coordinating services (including direct services) on behalf of its participating members (or “constituent” members in the case of Alaskan entities). (98.81(b)(8)(ii),98.83(c)(1))

Describe: _____

Section 1.6. Program Integrity and Accountability

Program integrity is defined to include efforts established by a tribal government that ensure effective internal controls to reduce programmatic or financial risks in the administration of CCDF funds. The Tribal Lead Agency is responsible for designing internal controls systems to facilitate

monitoring programs and services, ensuring compliance with the rules of the program, and overseeing the expenditure of all funds. Accountability measures should address strategies to strengthen program integrity and to reduce and prevent fraud and misspent funds. (98.11(b), 98.60(i))

Reminder: As the recipient of Federal funds, Tribal Lead Agencies are responsible for ensuring that adequate procedures are in place to ensure that funds reach eligible children and families. Tribal Lead Agencies have flexibility how to achieve this objective, including working with the Tribal fiscal office and other partners. Strengthening internal controls can improve the overall efficiency of the CCDF program, which can enhance services to parents and providers. These questions are being asked to gain a deeper understanding how Tribes are exercising their options to fulfill their responsibilities for program integrity and accountability.

1.6.1. What policies and procedures does the Tribal Lead Agency have in place that ensures the administration of CCDF funds is in accordance to all Federal and Tribal rules and regulations? For example, fiscal checks and balances, internal controls, ensuring adequate documentation exists for all transactions, including eligibility determinations, etc.

Describe: _____

1.6.2. What current or future strategies, if any, does the Tribal Lead Agency have in place to prevent and reduce fraud and/or misspent funds? For example, reviewing attendance or billing records for accuracy, auditing provider records, conducting case record reviews, etc.

Describe: _____

Part 2 – Developing the Child Care Program

Section 2.1. Consultation in the Development of the CCDF Plan

Lead Agencies are required to consult with the appropriate agencies providing child care and early childhood development services (98.12., 98.14(a)(b), 98.16).

Definition: Consultation involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the Tribal Plan. At a minimum, the description must state which representatives of the Tribal community (or Tribal communities in the case of a consortium) were consulted. (658D(b)(2), 98.12(b), 98.14(b), 98.16(d))

2.1.1. Describe how the Tribal Lead Agency consulted with the following Agencies/Entities in developing the CCDF Plan.

a) Lead agencies are required to consult with representatives of local government.

Describe the consultation effort in the development of this Plan: _____

b) Many Tribal Lead Agencies consult with additional entities – if you elect to consult with the entities check the appropriate box(s) below and describe your consultation.

☐ Tribal/State agency (agencies) responsible for public education, including Tribal/State pre-kindergarten programs and inclusion programs for children with special needs.

Describe: _____

☐ Tribal/State/Local agency responsible for Head Start programs.

Describe: _____

☐ Federal, State, local, Tribal, and/or private agencies providing child care and early childhood development services.

Describe: _____

☐ Public health. (including the agency responsible for immunizations and programs that promote children's emotional and mental health)

Describe: _____

☐ Tribal/State agency responsible for employment services/workforce development.

Describe: _____

☐ Tribal/State agency responsible for child welfare.

Describe: _____

☐ Other.

Describe: _____

Section 2.2. Coordinating the Delivery of CCDF Services

Tribal Lead Agencies are REQUIRED to coordinate with other Tribal, Federal, State, and local child care, early childhood development programs, including such programs for the benefit of Indian children. (658D(b)(1)(D), 658O(c)(2)(A), 98.14 (a)(1), 98.16(d), 98.82(b))

2.2.1. Describe how the Tribal Lead Agency coordinates the delivery of CCDF-funded child care services with other Tribal, Federal, State, and local child care, early childhood development programs, and before and after-school care services. (658D(b)(1)(D), 658O(c)(2)(A), 98.14 (a)(1), 98.16(d), 98.82(b))

Describe: _____

2.2.2. Describe the results of the Tribal Lead Agency's required coordination activities with agencies responsible for:

- Public Health (including the agency responsible for immunizations)
  Describe: _____
- Public Education
  Describe: _____
- Employment services or workforce development
  Describe: _____
- State Temporary Assistance for Needy Families (TANF) agency and/or Tribal TANF agency
  Describe: _____

Section 2.3. Public Hearing Process

2.3.1. The Tribal Lead Agencies are required to conduct public hearings no earlier than January 1, 2011 and no later than June 30, 2011. Public notice regarding the hearing(s) must be provided at least 20 days prior to the hearing and must be made available throughout the Tribal Lead Agency's Service Area.

Reminder: 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 public hearing process held to provide the Tribe or member Tribes, in the case of a Tribal consortium, an opportunity to comment on the provision of child care services under the Tribe's (or Tribal consortium) Plan. (658D(b)(1)(C), 98.14(c), 98.16(e))

a) List the date(s) of the public hearing **notice** (at least one public hearing is required):

_____/_____/_____
(Month, Date, Year)

b) How was the community made aware of the public hearing? Examples include: parent newsletter, tribal/local media, posting on bulletin boards, etc.

Describe: _____

c) Describe how the Tribal Lead Agency made available the contents of the Plan throughout the service area prior to the public hearing?

Describe: _____

d) List the date(s) and location(s) of the **hearing(s)** (Month, Date, and Year):

_____/_____/_____
(Month, Date, Year)

Location(s): _____

e) Describe how input from the public hearing(s) was taken into consideration.

Describe: _____

Section 2.4. Public-Private Partnerships

2.4.1. Describe any activities, including planned activities, to encourage public-private partnerships, which promote private-sector involvement in meeting child care needs. (98.16(d))

Reminder: Provide examples of partnerships or planned activities with the business community or other private organizations such as foundations. If there are no businesses, foundations, and/or philanthropic organizations within the Tribal Lead Agencies service area please indicate.

Describe: _____

Part 3 – Child Care Services Offered

This section focuses on the child care assistance program. Tribal Lead Agencies are asked to describe their efforts to inform parents about the subsidy program and application policies and procedures, eligibility criteria, how Tribal Lead Agencies ensure continuity of care and parental choice of high quality settings for families, and sliding fee scale and payment rate policies and procedures.

Section 3.1. Description of Direct Child Care Services

Reminder: Non-Exempt Tribes are required to operate a certificate program. Certificates must permit parents to choose from a variety of child care categories including center-based care, group home care, family child care and in-home care. (98.30(e)) Exempt Tribes are not required to operate a certificate program unless the Tribe chooses to include such services and the associated requirements in its program (98.81(b)(5)).

Please check the appropriate box - Tribal Lead Agency Funding Status:

- ☐ Exempt
- ☐ Non-Exempt (CCDF allocations equal to or greater than $500,000 for a fiscal year)

3.1.1. The Tribal Lead Agency offers direct child care services through (check all appropriate boxes): (658A(b)(1), 658E(c)(3)(A)&(B), 658P(5)&(6), 98.16(g)(1), 98.30, 98.50)

a) A Certificate Program

- ☐ Yes, as a Non-exempt Tribe, we operate a Certificate Program as required.
- ☐ Yes, as an Exempt Tribe we are not required but have chosen to operate a Certificate Program. Exempt Tribes may choose to select “Yes” if you provide the full categories of child care.

Reminder: The terms “certificate” and “voucher” are often used interchangeably but for the purposes of the Tribal Plan Preprint we have chosen to make a distinction between the two terms. The term "certificate" is used to designate the program that allows parents a provider choice from all four categories of care (i.e., center-based care, group home care, family child care and in-home care). The term "voucher" is used for Exempt Tribes who operate like a certificate program, but offer parents fewer choices than the full four categories of care.

b) A Voucher Program (for Exempt Tribes Only)

The Lead Agency has the option to limit the categories of care offered to parents. The Lead Agency has chosen to offer the following categories of care:

☐ Center-based ☐ Group-home

☐ Family-home ☐ In-home

c) Grants or Contracts for Child Care Slots

☐ Yes. Describe and identify any limitation: _____

d) Tribally-operated Center(s)

☐ Yes. Describe the following:

- The number and locations of the Tribally operated centers.

  Describe: _____
- The types of services offered (e.g. full-time, part-time, after school, etc.)

  Describe: _____
- The number of and ages of children serviced by the center.

  Describe: _____

3.1.2. Are all of the child care services identified in 3.1 above available throughout the entire service area? (658E(a), 98.16(g)(3))

Reminder: The Tribal Lead Agency is not required to offer CCDF services, or the same services, throughout the entire reservation or service area. If all services are not offered throughout your defined service area, indicate which services are not available and the area where the services are not offered. For Example: You may be offering infant care in only one village or in one center on your reservation

☐ Yes.

☐ No. Explain: _____

Section 3.2. Payment System

3.2.1. Briefly describe the overall child care certificate/voucher payment process. Responses should provide sufficient detail to enable a reader to understand how the Tribal Lead Agency certificate/voucher payment system works.
(658E(c)(2)(A)(iii)), 658P(2), 98.2, 98.30, 98.16(k))

Include at a minimum:

a) A description of the child care certificate/voucher OR attach (Enter Attachment #:_____) a copy of the certificate/voucher.

Describe: _____

Non-Exempt Tribes must also answer the following questions:

b) How does the Tribal Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child care centers, child care group homes, family child care homes, and in-home providers? (98.30(e)(2)) Check all options that the Tribe has chosen to implement.

☐ Certificate form provides information about choice of providers.

☐ Consumer education is provided at the time of application.

☐ Information is provided by child care resource and referral agencies.

☐ Agency Web site: _____

☐ Other. Describe: _____

c) If the Tribal Lead Agency is also providing child care services through grants and contracts, explain how it ensures that parents offered child care services are given the option of receiving a child care certificate.

Describe: _____

Section 3.3. Limitations of In-Home Care

All Non-Exempt Tribal Lead Agencies must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. (98.16(g)(2), 98.30(3)(1)(iv)) Will the Tribal Lead Agency limit the use of in-home care in any way?

☐ Yes. Check what limits will the Lead Agency set on the use of in-home care? Check all limits the Lead Agency will choose to establish.

- ☐ Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act.
- ☐ Restricted based on provider meeting a minimum age requirement.
- ☐ Restricted based on hours of care (certain number of hours, non-traditional work hours.)
- ☐ Restricted to care by relatives.
- ☐ Restricted to care for children with special needs or medical condition.
- ☐ Restricted to in-home providers that meet some basic health and safety requirements.
- ☐ Other. Describe: _____

☐ No.

Section 3.4. Eligibility Criteria for Child Care

In order to be eligible for services, children must (1) be under the age of 13, or under the age of 19 if the child is physically or mentally disabled or under court supervision; (2) reside with a family whose income does not exceed 85 percent of the State's median income for a family of the same size; and (3) reside with a parent(s) who is working or attending job training or an educational program; or (4) if the child is receiving or needs to receive protective services. (658E(c)(3)(B), 658P(3), 98.20, 98.80(f), 98.81(b)(1))

3.4.1. How does the Tribal Lead Agency define the following eligibility terms?

- Residing with: _____
- In loco parentis (refers to an individual who assumes parental status and responsibilities for another child): _____

3.4.2. Eligibility Criteria Based Upon Age

a) The Tribal Lead Agency serves children from _____ (weeks/months/years) to _____ years (maximum age is through age 12).

b) Does the Tribal Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(3), 98.20(a)(1)(ii))

☐ Yes. The upper age is: _____
Provide a definition of physical and mental incapacity: _____

☐ No.

c) Does the Tribal Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 who are under court supervision? (658P(3), 658E(c)(3)(B), 98.20(a)(1)(ii))

☐ Yes. The upper age is: _____

☐ No.

3.4.3. Eligibility Criteria Based Upon Work, Job Training, or Educational Program

a) How does the Tribal Lead Agency define "working" for the purposes of eligibility? Provide a narrative description below.

Reminder: Lead Agencies have the flexibility to include any work-related activities in its definition of working, including periods of job search.

- Working: _____

b) Does the Tribal Lead Agency provide CCDF child care assistance to parents who are attending job training? (98.16(g)(5), 98.20(b))

Reminder: Lead Agencies have the flexibility to include any training related activities in its definition of job training.

☐ Yes. If yes, how does the Tribal Lead Agency define "attending job training for the purposes of eligibility? Provide a narrative description below.

- Describe job training, to include attendance requirements if applicable: _____

☐ No.

c) Does the Tribal Lead Agency provide CCDF child care assistance to parents who are attending an educational program? (98.16(g)(5), 98.20(b))

Reminder: Lead Agencies have the flexibility to include any education-related activities in its definition of education, including study time.

☐ Yes. If yes, how does the Tribal Lead Agency define "educational program" for the purposes of eligibility? Provide a narrative description below.

- Describe educational program, to include attendance requirements if applicable: _____

☐ No.

3.4.4. Eligibility Criteria Based Upon Receiving or Needing to Receive Protective Services

a) Does the Lead Agency provide child care to children in protective services? (98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

Reminder: 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 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 should be included in this definition.

☐ Yes. If yes, how does the Lead Agency define "protective services" for the purposes of eligibility? Provide a narrative description: _____

☐ No.

b) Does the Tribal Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), 98.20(a)(3)(ii)(A))

☐ Yes.

☐ No.

c) 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. (This means that for CCDF purposes, the Tribal Lead Agency considers these children to be served under the protective services eligibility category.)

☐ No.

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

Reminder: If yes, you must include respite care under your definition of protective services.

☐ Yes, and respite care is included under the Tribe's definition of protective services.

☐ No.

3.4.5. Income Eligibility

By Statute, all eligible children must be under the age of 13 and reside with a family whose income does not exceed 85% of the Grantee Median Income (GMI) for a family of the same size. (658E(c)(3)(B), 658P(4), 98.20, 98.80(f), 98.81(b)(1))

a) How does the Lead Agency define "income" for purposes of eligibility determination? (98.16(g)(5), 98.20(b))

Reminder: The Tribe has flexibility in developing its definition of income.

- Income: _____

b) The law states that Tribes may establish income eligibility for child care under CCDF not to exceed 85% of the Grantees Median Income (GMI). Indicate whether the Tribal Lead Agency has selected to use the State or a Tribal Median Income to establish eligibility. (658E(c)(3)(B), 658P(4), 98.20, 98.80(f), 98.81(b)(1))

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

- (Include effective date of Tribal Median Income: _____ or

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

- State: _____ Effective date of SMI: _____

c) Provide the CCDF income eligibility limits. Income limits must be provided in terms of GMI (State Median Income or Tribal Median Income, as selected above), even if Federal poverty level is used in implementing the program. (98.20(a)(2))

Complete column (a) and (b) of the matrix below based on the definition of GMI selected above (TMI or SMI). Complete column (c) **ONLY IF the Tribal Lead Agency is using income eligibility limits lower than 85% of the GMI (i.e., State or Tribal Median Income).**

3.4.5. Grantee Median Income (GMI) Matrix			
Family Size	**(a) 100% of GMI ($/month)**	**(b) 85% of GMI ($/month)**	**(c) Income eligibility, less than 85% GMI, if used to limit eligibility ($/month)**
1	_____	_____	_____
2	_____	_____	_____
3	_____	_____	_____
4	_____	_____	_____
5	_____	_____	_____
6	_____	_____	_____
7	_____	_____	_____
8	_____	_____	_____

3.4.6. Additional CCDF Eligibility Criteria or Definition

Has the Tribal Lead Agency established additional eligibility criteria, for example higher income limits in one part of the tribal service area? (658E(a), 98.16(g)(5), 98.20(b))

☐ Yes. The additional eligibility criteria that the Tribal Lead Agency has established are: (If necessary include as an Attachment (Enter Attachment #:_____))

☐ No.

Section 3.5. Priority Rules for Children

At a minimum, CCDF requires Lead Agencies to give priority for child care services to children with special needs. Prioritization of CCDF-services is not limited to eligibility determination (i.e., establishment of a waiting list or ranking of eligible families in priority order to be served). Lead Agencies may fulfill priority requirements in other ways, such as higher payment rates for providers caring for children with special needs. (658E(c)(3)(B), 98.44(b))

Reminder: Responses under Section 3.5 should provide sufficient detail to enable a reader to understand the Tribal Lead Agency's priority rules.

3.5.1. Priority Rules for Children with Special Needs

Reminder: Lead Agencies have the flexibility in how they define "special needs". Lead Agencies are not limited in defining children with special needs to only those children with physical or mental disabilities (e.g., with formal Individual Education Plan (IEP) required under the Individuals with Disabilities Act (IDEA). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of children with special needs.

a) How does the Tribal Lead Agency define "children with special needs?"

Describe: _____

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)

Describe: _____

3.5.2. Additional Priority Rules

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

☐ Yes, and the following are the additional eligibility priority rules or categories. Terms must be defined in (b) below.

☐ No.

b) Define and describe the additional priority rules or categories provided in 3.5.2a.

Describe: _____

Section 3.6. Payment Rates for Child Care Services

Lead Agencies are required to establish payment rates for child care services that ensure eligible children equal access to comparable care. (658E(c)(4), 98.16(l) and 98.43(b)(2)).

3.6.1. Provide a copy of your payment rates as Attachment. (Enter Attachment #:_____) For Tribally Operated Centers and those offering direct services through grants or contracts, complete 3.6.3 below.

The attached payment rates were or will be effective as of: _____

> Reminder: The attached payment rates should reflect all the rates that cover the variety of care offered in your program. Tribal Lead Agencies are reminded that payment rates cannot be based on a family's eligibility or circumstances. This means that the Lead Agency may not establish payments for TANF families that differ from the payments for child care for the working poor, or for families in education or training.
>
> **Reminder for Tribally Operated Centers:** For Lead Agencies that only offer direct services through a tribally-operated center In lieu of a payment rate schedule, the Tribe could provide information about its CCDF budget, including the average cost of providing care per child, or information about what the center would charge a non-subsidized child for care.

3.6.2. Are the payment rates provided used in all parts of the Tribal Service Area?

☐ Yes.

☐ No. Attach other payment rates as Attachment (Enter Attachment #:_____). Indicate their effective dates and describe or list the geographic areas where they are used: _____

3.6.3 Does the Tribal Lead Agency provide child care services **only** through a tribally-operated center(s) or grants and contracts?

☐ Yes, if yes attach information on cost of care per child, budget information or other documentation regarding the cost of child care services. (Enter Attachment #:_____)

☐ No.

3.6.4. Market Rate Survey Requirements

Tribal Lead Agencies are required to establish payment rates for child care services that ensure eligible children equal access to comparable care. At a minimum, Lead Agencies are required to show how payment rates are adequate based on a local market rate survey conducted no earlier than two years prior to the effective date of the currently approved Plan (i.e., conducted no earlier than 10/1/09 and no later than 9/30/11).

ACF recognized that market rate surveys may not be feasible for some Tribal Lead Agencies. Lead Agencies have three options for fulfilling the local Market Rate Survey requirements. Lead Agencies have the option of 1) conducting its own 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 selected criteria are met. Select the option that best fits the circumstances of your Tribal Child Care Program and provide the requested information for the option selected.

Which option does the Tribal Lead Agency use in fulfilling the local Market Rate Survey requirements? Please select only ONE option.

☐ Option 1 - The Lead Agency conducts its own Market Rate Survey.

☐ If Yes, include the following:

The date of the local child care market rate survey(s):_____/_____/_____

Required: Describe how payment rates are adequate to ensure equal access based on the results of the market rate survey (i.e., the relationship between the attached payment rates and the market rates observed in the survey). What additional facts (if any) were used, in addition to the market rate survey, to set the attached payment rates? (98.16(l), 98.43)

Describe: _____

☐ Option 2 - The Lead Agency uses the State's local Market Rate Survey.

☐ If Yes, include the following:

Name of State: _____

Date (including the year) of the survey: _____/_____/_____

Required: Describe how the payment rates are adequate to ensure equal access based on the results of the market rate survey (i.e., the relationship between the attached payment rates and the market rates observed in the State(s) survey(s)). What additional facts (if any) were used, in addition to the market rate survey(s), to set the attached payment rates? (98.16(l), 98.43)

Describe: _____

☐ Option 3 - The Lead Agency will provide alternative documentation in lieu of a local Market Rate Survey. Lead Agencies must meet at least one of the following criteria in order to select this option.

☐ **Criteria 1. Check if:**

The Tribal Lead Agency has documented that it funds CCDF direct services solely in settings outside the scope of a market rate survey including;

(a) an Exempt Tribal Lead Agency providing CCDF direct services solely in Tribally operated facility(ies) and does not provide services through certificates/vouchers, grants, or contracts; and/or

(b) a Tribal Lead Agency 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 family, friend and neighbor care, and does not fund any CCDF services in centers, regulated family child care homes or regulated group homes.

If checked. Provide the documentation or a description indicating that the Tribal Lead Agency funds CCDF services solely in Tribally operated facility(ies) and does not provide services through certificates/vouchers, grants, or contracts; or provides direct services solely in unregulated home-based settings and does not provide any services through centers or regulated homes.

Documentation included in attachment (Enter Attachment #:_____).

Or

Describe: _____

☐ **Criteria 2. Check if:**

The Tribal Lead Agency has documented 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.

If yes, provide the documentation describing how the Tribal Lead Agency determined that all providers serve only children receiving CCDF subsidies and serve no private-pay children, including a description of all relevant provider types (i.e., centers, family child care homes, etc) that were examined.

Describe: _____

3.6.5. **For Non-Exempt Tribes Only** – If the payment rates do not reflect individual rates for the full range of providers -- center-based, group home, family home, and in-home care—explain how the choice of the full range of providers is made available to parents.

Describe: _____

Reminder: If your rates do not cover all categories of providers (i.e. center, family home, group home, in home) you must explain how parents will have access to the full range of providers, (i.e. if your rates only cover center, how will parents request subsidies for family home providers?) Remember, non-exempt Lead Agencies must operate a certificate program and offer access to all 4 categories of care.

3.6.6. Will the Tribal Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for subsidized children?

☐ No.

☐ Yes. Check all types of tiered reimbursement the Tribal Lead Agency has chosen to provide.

- ☐ Differential rate for nontraditional hours. Describe: _____
- ☐ Differential rate for children with special needs as defined by the Tribe. Describe: _____
- ☐ Differential rate for infants and toddlers. Describe: _____
- ☐ Differential rate for school-age programs. Describe: _____
- ☐ Differential rate for higher quality as defined by the Tribe. Describe: _____
- ☐ Other differential rate. Describe: _____

Section 3.7. Sliding Fee Scale(s)

CCDF requires families to share in the cost of subsidized child care (658(E)(5), 98.42). The Tribal Lead Agency must establish a sliding fee scale that details each family's contribution(s) (i.e., "co-payment"). The sliding fee scale must vary based on **income and the size of the family**.

3.7.1. Provide a copy of the Tribal Lead Agency's sliding fee scale for child care services as Attachment (Enter Attachment #:_____).

The attached sliding fee scale will be effective as of: _____

3.7.2. Does the Tribal Lead Agency use other factors in addition to income and family size to determine each family's contribution to the cost of child care? (658E(c)(3)(B), 98.42(b))

☐ Yes. Describe those additional factors: _____

☐ No.

3.7.3. Is the same sliding fee scale provided in attachment 3.7 in response to question 3.7.1. above in use in all parts of the Tribal service area? (658E(c)(3)(B), 98.42)

☐ Yes

☐ No, and other scale(s) are provided as attachment (enter attachment #:_____).

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

Reminder: Tribal Lead Agencies are reminded that the co-payments may be waived for only two circumstances – for families at or below the poverty level or on a case-by-case basis for children falling under the definition of "protective services" (as defined in 3.4.4).

☐ ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.

☐ ALL families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. Identify what Fiscal Year:_____ and Data Source:_____ was used to determine the poverty level.

☐ SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. Identify what Fiscal Year:_____ and Data Source:_____ was used to determine the poverty level.

Provide a description of the families at or below the poverty level that are not required to pay a fee: _____

3.7.5. The following is an explanation of how the co-payments required by the Tribal Lead Agency's sliding fee scale(s) are affordable. (98.43(b)(3))

Describe: _____

Part 4 – Procedures for Parents

In this section the Tribal Lead Agency should provide a complete description of the application process for families, the procedures for providing parents with unlimited access to their children while they are in the care of a CCDF provider (658E(c)(2)(D), (658D(b)(1)(A), (658E(c)(3)(B), 98.16(h), 98.30), and how the Tribal Lead Agency maintains substantiated parental complaints and how such information is made available to the public upon request (658E (c)(2)(C), 98.32).

Section 4.1. How Families Apply for CCDF

4.1.1. Describe how parents are informed of the availability of child care services under CCDF. (658E(c)(2)(A), 98.30(a))

The description must include:

- How parents are informed of the availability of child care services and of available child care options? Describe: _____
- Where and how applications are made? Describe: _____
- Who makes the eligibility determination? Describe: _____

4.1.2. Describe how the Tribal Lead Agency documents and verifies the applicant information. (658K(a)(1), 98.70(a), 98.71(a))

Describe: _____

4.1.3. TANF Agency's Criteria/Definitions Regarding Inability to Obtain Care

Describe how the Tribal Lead Agency Inform Parents who Receive TANF (Temporary Assistance for Needy Families) Benefits about the Exception to the Individual Penalties Associated with the TANF Work Requirement?

Describe: _____

The regulations at 98.33(b) require the Tribal Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth in the TANF statute and Plan.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency—which include both the Tribal TANF agency and the State TANF agency-- to determine whether the parent has a demonstrated inability to obtain needed child care:

Reminder: The TANF agency, not the Child Care Tribal 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(ies) that established these criteria or definitions:

State(s) TANF Agency: _____

Tribal TANF Agency: _____

b) Provide the following definitions established by the TANF agency.

- "Appropriate child care": _____
- "Reasonable distance": _____
- "Unsuitability of informal child care": _____
- "Affordable child care arrangements": _____

c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

☐ In writing
☐ Verbally
☐ Other: _____

4.1.4. Is the application process for child care under CCDF different for families receiving TANF? 98.16(g)(4)

☐ Yes. If yes, please describe: _____

☐ No.

Section 4.2. Description of Procedures for Unlimited Parental Access

The Lead Agency shall have procedures 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))

Describe how the Lead Agency ensures that parents have this access: _____

Section 4.3. Record of Substantiated Parental Complaints

- Describe in detail how the Tribe maintains a record of substantiated parental complaints about a child care provider. (658E(c)(2)(C), 98.32, 98.16(m))

  Describe: _____

- Describe in detail how the substantiated parental complaints are available to the public on request, including who should be contacted to receive them. (658E(c)(2)(C), 98.32, 98.16(m))

  Describe: _____

Part 5 – Activities and Services to Improve the Quality of Child Care

In this section, Tribal Lead Agencies are asked to describe their goals and plans for the implementation of child care quality improvement activities. Core elements of CCDF include quality investments and support systems for programs and staff. 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 goals for a child care quality improvement system for all families, not just those receiving assistance under CCDF. (658G, 658E(c)(3)(B), 98.16(h), 98.51, 98.83(f))

Reminder: CCDF regulations require non-exempt Lead Agencies (those receiving $500,000 or more) to spend not less than 4 percent on quality activities. These activities may include, but are not limited to; activities designed to provide comprehensive consumer education, increased parental choice, and to improve the availability and quality of child care services.

Exempt Lead Agencies (those receiving less than $500,000) are strongly encouraged to spend CCDF funds on quality activities but are not required to meet the 4 percent provision.

Section 5.1. Quality Improvement Activities

5.1.1. How does the Tribal Lead Agency learn about the quality of care currently offered and the training and TA needs of providers? (Note: Tribes may make their own decisions about how to determine their needs and make investments. For technical assistance purposes, ACF would like to learn how Tribes perform these functions – from the use of formal tools to determine the quality of programs to more informal methods to learn about the needs of relative caregivers.)

Describe: _____

5.1.2. Describe the quality improvement activities the Tribal Lead Agency intends to implement during this plan period. Tribes may use the table below and/or provide a narrative

Describe: _____

Table 5.1.2 Planned Quality Activities for the Plan period- (May be used in Lieu of Narrative Response.)
a) Training and Professional Development Opportunities for Providers Training Topics ☐ Child development ☐ Infant and toddler child care ☐ Physical activity and nutrition ☐ Language and literacy ☐ Inclusive child care ☐ Health and safety ☐ Social-emotional development ☐ Fiscal management ☐ Administration and program management ☐ Curriculum development and instruction ☐ Child Care as a business ☐ Other, describe: _____ Strategies for Making Training Accessible
☐ Grants or stipends for attending training events ☐ Time off to attend training ☐ Make substitute providers available ☐ Other, describe: _____ Training Outcomes ☐ Certificate ☐ Credential ☐ Degree ☐ Credit towards required training hours ☐ Other, describe: _____

b) Assisting Providers in meeting Licensing and Health and Safety Standards ☐ Provide health and safety materials/equipment ☐ Grants/mini-grants for health and safety equipment/materials ☐ Classroom materials and resources ☐ Financial assistance in meeting licensing requirements ☐ Other, describe: _____
c) Consumer Education ☐ Resource and referral services ☐ Resource library for parents and providers ☐ Newsletters for providers and parents ☐ Parent handbooks ☐ Toy lending library ☐ Internet-based consumer education on quality child care ☐ Other, describe: _____
d) Staff Compensation & Financial Incentives for Programs ☐ Supplement wages of staff ☐ Bonuses to recruit providers caring for infants/toddlers or other areas of provider shortages ☐ Increase staff compensation in blended Child Care/Head Start programs ☐ Bonuses to higher quality programs ☐ Implement cash and non-cash career-ladder incentives ☐ Other, describe: _____
e) School-Age Child Care Activities (Note: all activities must have a direct link to child care) ☐ Cultural activities with elders (e.g., regalia making) ☐ Culturally-based summer youth programs ☐ Mentoring program ☐ Drug prevention program ☐ Teen pregnancy prevention programs ☐ Other, describe: _____

f) Culturally Relevant Activities ☐ Tribal language immersion programs ☐ Integration of storytellers in child care programs ☐ Cultural training opportunities for parents and providers ☐ Cultural training to non-Native providers ☐ Other, describe: _____
g) Quality Support for Programs ☐ Grants to programs to expand quality activities ☐ Health Consultation or other related activities ☐ Assessment of classroom practice ☐ Integrating children with special needs (creating inclusive child care settings) ☐ Higher rates for programs caring for infants and toddlers ☐ Other, describe: _____

5.1.3. Does Tribal Lead Agency have quality improvement initiatives specifically for relative caregivers or other small home-based providers that are not described in your answers above:

☐ Yes. If yes, describe: _____

☐ No.

5.1.4. Tribes are required to spend a specific amount on School-Age Care and /or Resource and Referral services to fulfill the requirement know as Discretionary Targeted Funds. See the Office of Child Care Website for the FY 2012 estimates. http://www.acf.hhs.gov/programs/ccb/law/allocations/current/tribal2011/2011_est_alloc.htm

How does the Tribal Lead Agency intend to use these funds?

Describe: _____

Section 5.2. Quality Improvement Goals

In the upcoming Biennium, describe the Tribal Lead Agency's goals for improving the quality of care in your program. (Answers will used to guide future training and technical assistance provided by OCC.)

Describe: _____

Part 6 – Health and Safety Requirements for Providers

Activities to Ensure the Health and Safety of Children in Child Care This section is intended to collect information on how Tribal Lead Agencies meet the statutory and regulatory provisions related to the health and safety requirements for the CCDF program and how the requirements are effectively enforced. The Personal Responsibility and Work Opportunity and Reconciliation Act of 1996 (Public Law 104-193) requires that in lieu of any licensing and regulatory requirements applicable under State and local law, the U.S. Department of Health and Human Services develop minimum child care standards for Indian Tribes and Tribal Organizations receiving funds under the Child Care and Development Fund. The Minimum Tribal Child Care Standards were first published in April 2000 after three years of consultation with Tribes and tribal organizations, These voluntary guidelines represent the baseline from which all programs should operate to ensure that children are cared for in healthy and safe environments and that their basic needs are being met. We are aware that many Tribes may currently exceed the minimum standards. Each set of standards is organized in three sections that correspond with the basic CCDF health and safety standards: (1) policies, practices, and caregiver training; (2) building and premises; and (3) infection control. Tribal Lead Agencies still maintain the option of using the voluntary Minimal Tribal Child Care Standards or Tribal, State, or local licensing or regulatory requirements.

Section 6.1. Standards for Categories of Care

Table 6.1.1. What standards have the Tribe adopted for the following categories of care?

Tribal Lead Agencies still maintain the option of using the voluntary Minimal Tribal Child Care Standards or Tribal, State, or local licensing or regulatory requirements.	For each requirement checked, identify which providers must meet the requirement. (Reminder: Non-Exempt Tribal Lead Agencies must have at least one check box in each category of care) Check all that apply.			
	Center-based	Group home	Family home	In-home
☐ HHS Minimum Child Care Standards:	☐	☐	☐	☐
☐ Tribal Standards:	☐	☐	☐	☐
☐ State Licensing Standards Identify State(s):_____	☐	☐	☐	☐
☐ Local Licensing Standards or requirements Identify Local entity: _____	☐	☐	☐	☐
☐ Other Identify Other: _____	☐	☐	☐	☐

6.1.2. Does the Tribal Lead Agency exempt relative providers from health and safety requirements?

Reminder: A Tribal Lead Agency has the option, to exempt the following relatives from some or all of its health and safety requirements: grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles (see Section 6.3). (658)(4)(B), 98.41(g)).

☐ Yes. If yes, identify exempt relative providers: _____

☐ No.

Section 6.2 Compliance with Requirements for Health and Safety

Each Tribal Lead Agency shall certify that there are in effect, within the Tribal, State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Such requirements shall include the prevention and control of infectious diseases (including immunization), building and physical premises safety, and minimum health and safety training appropriate to the provider setting. These health and safety requirements apply to all providers caring for children receiving CCDF services. (658E(c)(2)(F), 98.41)

6.2.1. Check the health and safety requirements for **prevention and control of infectious disease** that are in effect for child care providers of services for which assistance is provided under CCDF. For example, these requirements may be included as part of the Tribal Child Care Standards, State licensing requirements, the Minimum Tribal Child Care Standards or local requirements. (658E(c)(2)(F)(i), 98.41(a)(1))

Table 6.2.1. Health and Safety Requirements for the Prevention and Control of Infectious Disease

Tribal Lead Agencies have flexibility to set requirements for their programs. Check all requirements that the Lead Agency has chosen to implement:	For each requirement checked, identify which providers must meet the requirement. (Reminder: Non-Exempt Tribal Lead Agencies must have at least one check box in each category of care) Check all that apply.			
	Center-based	Group home	Family home	In-home
☐ Physical exam or health statement for providers	☐	☐	☐	☐
☐ Physical exam or health statement for children	☐	☐	☐	☐
☐ Tuberculosis check for providers	☐	☐	☐	☐
☐ Tuberculosis check for children	☐	☐	☐	☐
☐ Provider immunizations	☐	☐	☐	☐
☐ Child immunizations	☐	☐	☐	☐
☐ Hand-washing policy for providers and children	☐	☐	☐	☐
☐ Diapering policy and procedures	☐	☐	☐	☐
☐ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☐
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐
☐ Other: Describe	☐	☐	☐	☐

6.2.2. Check the health and safety requirements for **building and physical premises safety**, including policies and practices to protect from environmental hazards, in effect for child care providers of services for which assistance is provided under CCDF. (658E(c)(2)(F)(ii), 98.41(a)(2))

Table 6.2.2. Health and Safety Requirements for Building and Physical Premises Safety

Tribal Lead Agencies have flexibility to set requirements for their programs. Check all requirements that the Lead Agency has chosen to implement:	For each requirement checked, identify which providers must meet the requirement. (Reminder: Non-Exempt Tribal Lead Agencies must have at least one check box in each category of care) Check all that apply.			
	Center-based	Group home	Family home	In-home
☐ Building inspection	☐	☐	☐	☐
☐ Fire inspection, safety and evacuation policy	☐	☐	☐	☐
☐ Accessibility for people with disabilities	☐	☐	☐	☐
☐ Health inspection	☐	☐	☐	☐
☐ Compliance with inaccessibility of toxic substances policy	☐	☐	☐	☐
☐ Compliance with lead paint policy	☐	☐	☐	☐
☐ Compliance with safety policy for bodies of water, including swimming pools	☐	☐	☐	☐
☐ Compliance with safe sleep policy, including SIDS prevention	☐	☐	☐	☐
☐ Compliance with transportation policy	☐	☐	☐	☐
☐ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☐
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐
☐ Tobacco Exposure Reduction	☐	☐	☐	☐
☐ Other: Describe	☐	☐	☐	☐

6.2.3. Check the health and safety requirements for **health and safety training** in effect for child care providers of services for which assistance is provided under CCDF. (658E(c)(2)(F)(iii), 98.41(a)(3))

Table 6.2.3. Health and Safety Requirements for Health and Safety Training

Tribal Lead Agencies have flexibility to set requirements for their programs. Check all requirements that the Lead Agency has chosen to implement.

	Health and Safety Training Requirements	Pre-Service	On-Going
☐Child Care Centers	CPR	☐	☐
	First Aid	☐	☐
	Training on Infectious Diseases	☐	☐
	SIDS Prevention (i.e., Safe Sleep)	☐	☐
	Medication Administration	☐	☐
	Mandatory Reporting of Suspected Abuse or Neglect	☐	☐
	Child Development	☐	☐
	Supervision of Children	☐	☐
	Behavior Management	☐	☐
	Nutrition	☐	☐
	Breastfeeding	☐	☐
	Tobacco Exposure Reduction	☐	☐
	Physical Activity	☐	☐
	Working with Children with Special Needs or Disabilities	☐	☐
	Emergency Preparedness and Response	☐	☐
	Other. Describe _____	☐	☐
☐Group Home Child Care	CPR	☐	☐
	First Aid	☐	☐
	Training on Infectious Diseases	☐	☐
	SIDS Prevention (i.e., Safe Sleep)	☐	☐
	Medication Administration	☐	☐
	Mandatory Reporting of Suspected Abuse or Neglect	☐	☐
	Child Development	☐	☐
	Supervision of Children	☐	☐
	Behavior Management	☐	☐
	Nutrition	☐	☐
	Breastfeeding	☐	☐
	Tobacco Exposure Reduction	☐	☐
	Physical Activity	☐	☐
	Working with Children with Special Needs or Disabilities	☐	☐
	Emergency Preparedness and Response	☐	☐
	Other. Describe _____	☐	☐

Table 6.2.3. Health and Safety Requirements for Health and Safety Training

Tribal Lead Agencies have flexibility to set requirements for their programs. Check all requirements that the Lead Agency has chosen to implement.

	Health and Safety Training Requirements	Pre-Service	On-Going
☐ Family Home Care	CPR	☐	☐
	First Aid	☐	☐
	Training on Infectious Diseases	☐	☐
	SIDS Prevention (i.e., Safe Sleep)	☐	☐
	Medication Administration	☐	☐
	Mandatory Reporting of Suspected Abuse or Neglect	☐	☐
	Child Development	☐	☐
	Supervision of Children	☐	☐
	Behavior Management	☐	☐
	Nutrition	☐	☐
	Breastfeeding	☐	☐
	Physical Activity	☐	☐
	Tobacco Exposure Reduction	☐	☐
	Working with Children with Special Needs or Disabilities	☐	☐
	Emergency Preparedness and Response	☐	☐
	Other. Describe _____	☐	☐
☐ In-Home Child Care Providers	CPR	☐	☐
	First Aid	☐	☐
	Training on Infectious Diseases	☐	☐
	SIDS Prevention (i.e., Safe Sleep)	☐	☐
	Medication Administration	☐	☐
	Mandatory Reporting of Suspected Abuse or Neglect	☐	☐
	Child Development	☐	☐
	Supervision of Children	☐	☐
	Behavior Management	☐	☐
	Nutrition	☐	☐
	Breastfeeding	☐	☐
	Tobacco Exposure Reduction	☐	☐
	Physical Activity	☐	☐
	Working with Children with Special Needs or Disabilities	☐	☐
	Emergency Preparedness and Response	☐	☐
	Other. Describe _____	☐	☐

Section 6.3. Monitoring and Enforcement of Health and Safety Requirements

The Tribal Lead Agency is required to certify that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with the applicable health and safety requirements. (658E(c)(2)(G), 98.41(d))

Describe the Tribal Lead Agency policies for effective monitoring and enforcement of requirements applicable to child care program funded under CCDF. We realize that some tribal programs may be required to be licensed by the State or other entity and therefore the enforcement of the licensing requirements is carried out by the State. Check the appropriate boxes below that best describes the visits (announced and unannounced), background checks and any other enforcement policies and practices that govern Tribal child care programs.

6.3.1. Are **announced** and/or **unannounced** visits in its policies as a way to effectively enforce the applicable child care requirements? (658E(c)(2)(E), 658E(c)(2)(G), 98.40(a)(2), 98.41(d))

☐ Yes. If "Yes" please refer to the chart below and check all that apply.

☐ No.

☐ Licensing enforcement is carried out by the State or other outside entity. Identify the State or other entity. If you checked this box, you are not required to complete table 6.3.1.

Table 6.3.1. Information on Monitoring and Inspections

Provider Categories	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
☐ Center-Based	☐ Once a Year ☐ More than Once a Year ☐ Less than Once a Year ☐ Once Every Two Years ☐ Other: Describe:_____	☐ Once a Year ☐ More than Once a Year ☐ Less than Once a Year ☐ Once Every Two Years ☐ Other: Describe: _____
☐ Family Home	☐ Once a Year ☐ More than Once a Year ☐ Less than Once a Year ☐ Once Every Two Years ☐ Other: Describe:_____	☐ Once a Year ☐ More than Once a Year ☐ Less than Once a Year ☐ Once Every Two Years ☐ Other: Describe: _____
☐ Group Home	☐ Once a Year ☐ More than Once a Year ☐ Less than Once a Year ☐ Once Every Two Years ☐ Other: Describe:_____	☐ Once a Year ☐ More than Once a Year ☐ Less than Once a Year ☐ Once Every Two Years ☐ Other: Describe: _____
☐ In-Home	☐ Once a Year ☐ More than Once a Year ☐ Less than Once a Year ☐ Once Every Two Years ☐ Other: Describe:_____	☐ Once a Year ☐ More than Once a Year ☐ Less than Once a Year ☐ Once Every Two Years ☐ Other: Describe: _____

6.3.2. Are background checks used to effectively enforce and monitor health and safety requirements?

☐ Yes. If yes, please refer to the chart below and check all that apply.

> Reminder: Some Tribal Lead Agencies have agreements with the State or Tribal entities that conduct the background check of providers. Example: The Tribal Lead Agency has entered into and agreement with the Tribe to conduct background checks. The Tribe's background check consists of both and FBI and DOJ check.

☐ No.

Table 6.3.2. Background Checks (Check all that apply)

Tribal Lead Agencies have flexibility to set requirements for their programs. Check all requirements that the Lead Agency has chosen to implement:	For each requirement checked, identify which providers must meet the requirement.			
	Center-based	Group home	Family home	In-home
Child Abuse Registry	☐	☐	☐	☐
Tribal Criminal Background	☐	☐	☐	☐
Federal Background - either Federal Bureau of Investigation (FBI) and/or Department of Justice (DOJ) (i.e., fingerprint)	☐	☐	☐	☐
Sex Offender Registry	☐	☐	☐	☐
Other: Describe: _____	☐	☐	☐	☐

6.3.3. What other methods either directly or indirectly, does the Tribal Lead Agency use to effectively enforce CCDF health and safety requirements?

> Reminder: Examples may include requiring providers to submit plans to correct violations cited during monitoring; Tribal Lead Agency provides technical assistance on how to correct the violation or the prevention of such violations, Tribal Lead Agency has an agreement with the State to enforce compliance with CCDF health and safety requirements, etc.

Describe: _____

6.3.4. Does the Tribal Lead Agency disseminate information to parents and the public, about child care program compliance records?

☐ Yes. Describe: _____

☐ No.

APPENDIX 1

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))

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))

APPENDIX 2

CHILD COUNT DECLARATION

Name of Tribal Lead Agency: _____

This certifies that the number of Indian children under age 13 who reside on or near the reservation or service area 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>

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 reallotment process.

☐ Yes ☐ No

APPENDIX 3

AMENDMENTS LOG

Child Care and Development Fund Plan
For the period: 10/1/2011 –9/30/2013

GRANTEE NAME: _____

Section Amended	Effective/Proposed Effective Date	Grantee Signature and Date Submitted to ACF	ACF Approving Official's Signature and Date
_____	_____		
_____	_____		
_____	_____		
_____	_____		
_____	_____		
_____	_____		
_____	_____		
_____	_____		
_____	_____		

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.

APPENDIX 4

LIST OF CERTIFICATIONS

New Tribal CCDF applicants must complete and submit the following certifications as Appendix 4 of their Tribal plan preprint:

- Assurance of compliance with Title VI of the Civil Rights Act of 1964
- Certification regarding debarment (includes definitions for use with the certification of debarment)
- HHS certification regarding drug-free workplace requirements
- Certification of compliance with the Pro-Child Act of 1994

New applicants should contact their ACF Regional Office to obtain copies of the required certifications.

Current Tribal Lead Agencies were previously required to submit these certifications with their 2-year plan preprint. Therefore, the certifications do not need to be submitted again. Tribes are reminded that even if they have changed their Tribal Lead Agency, the certifications apply to the successor agency.

APPENDIX 5
(OPTIONAL)
TRIBAL LEAD AGENCY SYNOPSIS

Funding Status (Check appropriate box based on current CCDF allocation)		
Exempt (CCDF allocations less than $500,000)	☐ Yes	☐ No
Non-Exempt (CCDF allocations equal to or greater than $500,000)	☐ Yes	☐ No
Tribal Consortia (Tribal Lead Agency operating as a consortium	☐ Yes	☐ No
477 Tribe (Currently operating under an approved 477 Plan	☐ Yes	☐ No

Description of Direct Child Care Services (Check all that apply)				
Center-Based	Group Home	Family-Home	In-Home	
☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes	☐ No
Grants or Contracts for child care slots	☐ Yes ☐ No			
Tribally-Operated Centers	☐ Yes ☐ No			
	Number of Centers #:_____			
	Type of Services	☐ Full-time ☐ Part-time ☐ After-School		

Quality – Does the Lead Agency Provide the following:		
Conduct assessment of quality needs of the providers	☐ Yes	☐ No
Provide Training and Professional Development for Providers	☐ Yes	☐ No
Assist Providers in meeting licensing requirements	☐ Yes	☐ No
Culturally Relevant Activities	☐ Yes	☐ No
School-Age Child Care Activities	☐ Yes	☐ No

Health and Safety (H & S) - Does the Tribal Lead Agency use:		
Announced visits to enforce H & S Requirements	☐ Yes	☐ No
Unannounced visits to enforce H & S Requirements	☐ Yes	☐ No
Background Checks to screen providers	☐ Yes	☐ No
Sanctions for noncompliant with H & S requirements	☐ Yes	☐ No

Highlight of Quality Activities: Accomplishment and Best Practices(AttachNarrative):
Provide a brief description of the Tribe's Quality Activities, for example accomplishments and best practices identified by the Tribal Lead Agency. Describe: _____