



The Fundamentals of CCDF Administration

Resource Guide



The Fundamentals of CCDF Administration

For State and Territory Administrators

Welcome

Welcome to the Fundamentals of CCDF Administration Resource Guide. The resource guide has been revised to reflect the Child Care and Development Block Grant (CCDBG) Act of 2014 and Child Care and Development Fund (CCDF) final rule issued in 2016—including its expanded purposes and impact on child care and on Lead Agencies' administration of CCDF grants.

The guide addresses the requirements of the law and final rule, which can be complex and highly technical. The guide provides as much clarification as possible, especially for newer CCDF Administrators and Lead Agency Administrators. However, its focus is on describing the basics of the law rather than interpreting the legal language.

The term *state* is defined in both the CCDBG Act and CCDF final rule as including states, territories, and tribes; therefore, for ease of reading, *state* will be used inclusively throughout this guide unless otherwise specified.^{1,2}

You may notice gear icons throughout the guide. These are intended to show the interconnectedness of different parts of CCDF administration, such as the following:

- ◆ Subsidy (teal gear)
- ◆ Consumer education (navy gear)
- ◆ Health and safety, licensing regulations and monitoring, and quality improvement (orange gear)
- ◆ Professional development and workforce (light blue gear)

The CCDBG Act is the law that, along with Section 418 of the Social Security Act, authorizes the federal child care subsidy program known as CCDF. In 2016, the Office of Child Care, Administration for Children and Families (ACF), U.S. Department of Health and Human Services (HHS) published a final rule based on the Act that provided additional details and clarification on the law's requirements. Provisions of this final rule generally became effective on November 29, 2016, except for the provisions with a delayed statutory effective date. States were expected to be in full compliance by October 1, 2018, which marked the beginning of the next triennial CCDF Plan period.

The CCDBG Act of 2014 specified dates when certain provisions were effective and allowed time to implement the requirements:

- ◆ Monitoring, including annual inspections of CCDF providers became effective November 19, 2016.
- ◆ Posting results of monitoring and inspection reports became effective November 19, 2017.
- ◆ Comprehensive background checks (CBCs) became effective September 30, 2017 (further clarification provided in [part 6](#)).

¹ CCDF regulations define *state* as follows: "any of the states, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Marianas Islands, and includes tribes unless otherwise specified" [Child Care and Development Fund, 45 C.F.R. § 98.2 (2016)].

² **Note:** Separate resources are available to support the work of tribal grantees. They are available on the Early Childhood Training and Technical Assistance System website at <https://childcareta.acf.hhs.gov/centers/national-center-tribal-early-childhood-development>.

- ◆ Where the Act did not specify a date, the statutory requirements became effective upon the date of enactment (November 19, 2014), and states had until September 30, 2016, to implement them.

Primary User

The *Fundamentals of CCDF Administration* resource guide was created for CCDF Administrators, especially those who are new to their positions. *CCDF Administrators*, which is the term used throughout this document, are often referred to as State Administrators and Territory Administrators. In some states, the CCDF Administrator is responsible for all components of the CCDF program; in others, co-administrators are designated or interdepartmental agreements are established with other agencies for key components such as licensing administration.

The contents are also applicable to administrators and fiscal staff of Lead Agencies who need a basic understanding of the implementation of the CCDBG Act of 2014.

Note: Separate resources are available to support the work of American Indian and Alaska Native CCDF grantees. These resources are available on the [Child Care Technical Assistance Network \(CCTAN\) website](#).

New CCDF Administrators—as well as more seasoned CCDF Administrators—will find the [Fundamentals of CCDF Administration website](#) helpful for the following:

- ◆ Providing introductory or refresher training, including as a part of an onboarding process for CCDF Administrators as well as for Lead Agency staff and administration as applicable
- ◆ Training other Lead Agency staff; for example, quality, licensing, or subsidy staff
- ◆ Understanding and planning for required CCDF activities, for example market rate survey, quality performance report, and public hearing
- ◆ Searching for information on a specific CCDF administration topic
- ◆ Shared training with collaborative partners such as those in the State Advisory Council and agency staff in state departments of health, education, or the lead agency for Temporary Assistance for Needy Families (TANF).

About the Office of Child Care

The Office of Child Care (OCC) is part of the Administration for Children and Families, under the U.S. Department of Health and Human Services. OCC's work is best summed up by the following mission statement:

The Office of Child Care supports low-income working families by improving access to affordable, high-quality early care and afterschool programs. OCC administers the Child Care and Development Fund (CCDF) and works with state, territory, and tribal governments to provide support for children and their families juggling work schedules and struggling to find child care programs that will fit their needs and that will prepare children to succeed in school.

CCDF also improves the quality of care to promote children's healthy development and learning by supporting child care licensing, quality improvement systems to help programs meet higher standards, and training and education for child care workers. The Office of Child Care establishes and oversees the implementation of child care policies and provides guidance and technical assistance to states, tribes, and territories as they administer CCDF programs.³

³ Office of Child Care. (n.d.). *OCC fact sheet*. U.S. Department of Health and Human Services, Administration for Children and Families. <https://www.acf.hhs.gov/occ/fact-sheet>

Part 2. Define CCDF Leadership and Coordination with Relevant Systems

This part of the guide includes information to support the management of the Child Care and Development Fund (CCDF)—funded activities, as well as coordination with public and private partners. Emergency preparedness planning is also covered in this section.

Introduction

CCDF administration requires leadership and coordination between child care programs and other agencies, services, and supports at the state and local levels that serve children and families. Each grantee must identify the most appropriate entities and individuals to lead and participate in implementation based on the context within its state.⁴ These entities include those that manage various components of CCDF-funded activities and requirements (fiscal, subsidy, health and safety monitoring, and continuous quality improvement), as well as other public and private partners.

The Child Care and Development Block Grant (CCDBG) Act of 2014 provides new opportunities and includes additional requirements for Lead Agencies. As mentioned in the [introduction](#), the governor may designate an agency, collaborative agency, or establish a joint interagency office as Lead Agency. Within the Lead Agency, a CCDF Administrator is then identified as the day-to-day contact with responsibility for administering the CCDF program. The Administrator's role is sometimes shared by two Lead Agency staff, with both individuals receiving communication from the Administration for Children and Families (ACF), such as program announcements, program instructions, and data collection instructions.

The CCDBG Act of 2014 specified dates when certain provisions were effective and allowed time to implement the new requirements:

- ◆ Monitoring, including annual inspections of CCDF providers—became effective November 19, 2016
- ◆ Posting results of monitoring and inspection reports—became effective November 19, 2017
- ◆ Criminal Comprehensive background checks—became effective September 30, 2017 (further clarification provided in [part 6](#))
- ◆ Where the Act did not specify a date, the statutory requirements became effective upon the date of enactment (November 19, 2014) and states had until September 30, 2016, to implement them

CCDF Policy Decision Authority⁵

The Lead Agency must retain overall responsibility for the administration of the CCDF program. A primary purpose of the CCDBG Act is “to allow each State maximum flexibility in developing child care programs and policies that best suit the needs of children and parents within that State.”⁶ Some states choose to administer all components of the CCDF child care program within the Lead Agency with the assistance of contractors. Others

⁴ CCDF regulations define *state* as follows: “any of the States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, the Commonwealth of the Northern Marianas Islands, and includes Tribes unless otherwise specified” [Child Care and Development Fund, 45 C.F.R. § 98.2 (2016)]. For ease of reading, the term *state* is used inclusively throughout this resource unless otherwise specified.

⁵ CCDBG Act of 2014 658D(b); Child Care and Development Fund, 45 C.F.R. §§ 98.10–98.11 (2016).

⁶ CCDBG Act of 2014 658A(b)(1).

have found that critical roles such as health and safety monitoring and professional development align with services already provided in other state agencies.

The Lead Agency may also use other governmental or nongovernmental agencies or organizations to implement or perform CCDF services, such as the following:

- ◆ Performing eligibility determinations
- ◆ Assisting parents in locating child care
- ◆ Issuing provider payments
- ◆ Other CCDF activities identified by the state

These services and activities may be performed by Temporary Assistance for Needy Families (TANF) agencies, local governments, child care resource and referral agencies (CCR&R), community organizations, or other entities.

Lead Agencies may choose to have certain rules and policies (such as those related to eligibility, sliding fee scales, and payment rates) set by counties or other local entities. States that use this approach are commonly referred to as “county-administered states.”

If CCDF funds are used for services conducted by other agencies, a written agreement must be in place with the Lead Agency outlining roles and responsibilities to ensure that CCDF requirements are met.

CCDF Plan Development

One of the primary responsibilities of the CCDF Administrator is the development of the triennial CCDF Plan, also known as the ACF-118 form and system (check with your regional office for access to this site). The CCDF Plan describes the processes and activities the state will conduct to meet CCDF requirements. Preparing and submitting the CCDF Plan requires consultation and collaboration. CCDF Administrators often develop the process and schedule for engaging various stakeholders to consult in the development of the Plan, and a timeline for completion of a draft for public review.

Consultation involves meeting with or otherwise obtaining input from an appropriate agency in the development of the state or territory CCDF Plan.

As part of the Plan development process, Lead Agencies must consult with the following:

- ◆ Appropriate representatives of units of general-purpose local government. **Note:** General-purpose local governments are defined by the [U.S. Census](#).
- ◆ The State Advisory Council (SAC) on Early Childhood Education and Care or similar coordinating body. The SAC is designated under the Head Start Act and may be referred to as ECAC, SAC, or another title in your state.
- ◆ Indian tribe(s) or tribal organization(s) within the state. This consultation should be done in a timely manner and at the option of the Indian tribe(s) or tribal organization(s).

Examples of consultation with these entities might include engaging them in a drafting committee, giving them the opportunity to review drafts and sign off on the final version, or jointly developing memoranda of understanding with the Lead Agency to meet requirements for sharing information or services for families receiving subsidy.

The CCDF Administrator’s role in developing the CCDF Plan may also include consulting with the individuals responsible for the child care program components (for example, subsidy, health and safety monitoring, continuous quality improvement, and accountability) to identify who will prepare the required information.

ACF will determine compliance with requirements in the law through submission and approval of the CCDF Plan and other appropriate means, including site visits to states.

Additional information about the CCDF Plan (form ACF-118) is found in [Ensure Grantee Accountability](#).

Coordination with Partners to Expand Accessibility and Continuity of Care⁷

Coordination has taken on new significance under the CCDBG Act of 2014. The law identifies specific entities that Lead Agencies must coordinate with over the 3-year plan period to do the following:

- ◆ Expand accessibility and continuity of care
- ◆ Help children enrolled in early childhood programs receive full-day services that meet the needs of working families

Lead Agencies must describe how they will coordinate child care services supported by CCDF with other federal, state, and local programs serving children (including programs for the benefit of American Indian and Alaska Native children, infants and toddlers, children with disabilities, children experiencing homelessness, and children in foster care). Coordination can help states reach goals related to expanding accessibility and continuity of care, such as the following:

- ◆ Extending the day or year of services for families
- ◆ Smoothing transitions for children in programs or as they age into school
- ◆ Enhancing and aligning the quality of services for infants and toddlers through school-age children
- ◆ Linking comprehensive services to children in child care or school-age settings
- ◆ Developing the supply of quality care for vulnerable populations (as defined by the Lead Agency) in child care and out-of-school time settings

As outlined in the CCDF final rule,⁸ Lead Agencies are required to coordinate with all of the following entities or agencies:

1. Appropriate representatives of the general purpose local government, which can include counties, municipalities, or townships and towns.
2. State Advisory Council on Early Childhood Education and Care or similar coordinating body.
3. Indian tribe(s) and/or tribal organization(s), at the option of individual tribes.
4. State or territory agency (or agencies) responsible for programs for children with special needs, including early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Part B, Section 619, for preschool).
5. State or territory office and director for Head Start state collaboration.
6. State or territory agency responsible for public health, including the agency responsible for immunizations.

⁷ CCDBG Act of 2014 658E(c)(2)(O); Child Care and Development Fund, 45 C.F.R. § 98.14(a)(1) (2016).

⁸ Child Care and Development Fund, 45 C.F.R. § 98.14 (2016)

7. State or territory agency responsible for employment services/workforce development.
8. State or territory agency responsible for public education, including Prekindergarten (PreK).
9. State or territory agency responsible for child care licensing.
10. State or territory agency responsible for the Child and Adult Care Food Program (CACFP) and other relevant nutrition programs.
11. McKinney-Vento state coordinators for homeless education and other agencies providing services for children experiencing homelessness and, to the extent practicable, local McKinney-Vento liaisons.
12. State or territory agency responsible for the Temporary Assistance for Needy Families (TANF) program.
13. Agency responsible for Medicaid and the state Children's Health Insurance Program.
14. State or territory agency responsible for mental health.
15. Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development.
16. Statewide afterschool network or other coordinating entity for out-of-school time care (if applicable).
17. Agency responsible for emergency management and response.

Lead Agencies have *the option* to coordinate the provision of services with the state, territory, local, and tribal agencies that are responsible for the following:

- ◆ Early Head Start—Child Care Partnership grants.
- ◆ Institutions for higher education, including community colleges.
- ◆ Other federal, state, local, or private agencies providing early childhood and school-age or youth-serving developmental services.
- ◆ Implementing the Maternal and Child Home Visitation programs grant.
- ◆ Early and Periodic Screen, Diagnostic, and Treatment Program.
- ◆ Child welfare.
- ◆ Provider groups or associations.
- ◆ Parent groups or associations.

To support coordination across these agencies, Lead Agencies must assure that, to the extent practicable and appropriate, any code or software for child care information systems or information technology for which a Lead Agency or other agency expends CCDF funds to develop must be made available on request to other public agencies, including public agencies in other states, for their use in administering child care or related programs.

Optional Use of Combined Funds⁹

Lead Agencies have the option to combine CCDF funds with the funding for any of the programs with which coordination is required (as [previously described](#)). These programs include those operating at the federal, state, and local levels for children in preschool programs, tribal early childhood programs, and other early childhood programs, including those serving infants and toddlers with disabilities, children experiencing homelessness, and children in foster care.

Combining funds could include blending multiple funding streams, pooling funds, or layering funds together from multiple funding streams to expand and enhance services for infants, toddlers, preschoolers, and school-age children and families to allow for the delivery of comprehensive quality care that meets the needs of children and families. Examples are listed below:

- ◆ State agencies may use multiple funding sources to offer grants or contracts to programs to deliver services.
- ◆ A state may allow a county or local government to use coordinated funding streams.
- ◆ Policies may be in place that allow local programs to layer CCDF funds with additional funding sources to pay for full-day, full-year child care that meets Early Head Start or Head Start Program Performance Standards or state Prekindergarten requirements in addition to state child care licensing requirements.

As a reminder, CCDF funds may be used in collaborative efforts with Head Start programs to provide comprehensive child care and development services for children who are eligible for both programs. In fact, the coordination and collaboration between Head Start and CCDF is strongly encouraged within the Head Start Act in the provision of full working day, full calendar year comprehensive services. To implement such collaborative programs, which share, for example, space, equipment, or materials, grantees may layer several funding streams so that seamless services are provided. See the [Policy and Program Guidance for the Early Head Start—Child Care Partnerships](#) for further information.

Public-Private Partnerships¹⁰

A requirement of the CCDBG Act is that states must encourage partnerships to leverage existing service delivery systems and increase the supply, quality, and efficiency of child care services to benefit the development of children and the success of families in the state. In their CCDF Plans, Lead Agencies must describe how partnerships are encouraged and activities that have resulted from partnerships. Entities with which Lead Agencies are encouraged to partner include the following:

- ◆ Other state and public agencies
- ◆ Tribal organizations
- ◆ Private entities
- ◆ Faith-based organizations
- ◆ Businesses or organizations that promote business involvement
- ◆ Community-based organizations to leverage existing service delivery

⁹ CCDBG Act of 2014 658E(c)(2)(O)(ii); Child Care and Development Fund, 45 C.F.R. § 98.14(3) (2016).

¹⁰ CCDBG Act of 2014 658E(c)(2)(P); Child Care and Development Fund, 45 C.F.R. § 98.14(4) (2016).

Coordination with Child Care Resource and Referral Systems

States may allocate CCDF funds, including quality funds, to CCR&R agencies, networks, and systems. CCR&R agencies have supported states in many ways. The following are examples of how CCR&R agencies may provide important connections to local communities:

1. Engaging families with consumer education and information about child care financial assistance (subsidy)
2. Engaging child care providers in order to disseminate information about the availability of child care, including information about the quality of care (where that information is available)
3. Providing training and technical assistance for child care providers
4. Promoting quality and helping child care providers meet higher quality levels

In addition, in some states, CCR&R agencies also administer CCDF child care financial assistance or other services (such as child care provider training, communicating with providers following disaster, or administering quality improvement grants).

The CCDBG Act and CCDF final rule allow states to use CCDF funds to establish or support a system of local or regional CCR&R agencies that is coordinated, to the extent determined appropriate by the state, by a lead CCR&R organization. The lead organization may be a statewide public or private nonprofit, or a community-based or regional organization. If a state uses funds for a system of local or regional CCR&R agencies, these agencies must, at the direction of the Lead Agency, do the following:

- Provide parents with consumer education about the full range of child care options, analyzed by provider, including child care provided during non-traditional hours and through emergency child care centers
- Work directly with families that receive CCDF assistance to help and support them as they decide on a child care provider to ensure that the families are enrolling their children in the most appropriate child care setting that suits their needs and one that is of high quality, to the extent practicable
- Collect data and provide information on the coordination of services and supports, including services under section 619 (Preschool Grants) and Part C (Early Intervention for Infants and Toddlers with Disabilities) of the Individuals with Disabilities Education Act (IDEA)
- Collect data and provide information on the supply and demand for child care services in areas of the state and submit this information to the state
- Establish partnerships to increase the supply and quality of child care in the state
- Coordinate activities with the state Lead Agency and local agencies that administer funds, as appropriate

CCDBG Act of 2014 658E(c)(2)(E); Child Care and Development Fund, 45 C.F.R. § 98.52 (2016).

Disaster Preparedness and Response Plan¹¹

In past disasters, and in response to the COVID-19 pandemic, the provision of emergency child care services and rebuilding and restoring of child care infrastructure has emerged as an essential service. The CCDBG Act requires a disaster preparedness and response plan that contains specific elements. The purpose of this

¹¹ CCDBG Act of 2014 658E(c)(2)(U) and Child Care and Development Fund, 45 C.F.R. § 98.16(aa) (2016).

requirement is to help ensure that early childhood programs support children's healthy growth and development, especially in the event of a disaster or emergency. The availability of child care following a disaster prevents children from being left alone or in unsafe environments, and can help expedite recovery efforts by ensuring that children are safe while parents access public benefits, visit damaged property, and make other efforts to rebuild their lives. Child care is a critical human service that helps protect children's safety and support family stability after a disaster.

Planning and preparation for emergency and disaster are important for these reasons:

- ◆ Planning minimizes the likelihood of injuries and death of children who are particularly vulnerable in disasters
- ◆ Preparation can minimize psychological impact (trauma) and promote resilience in children and adults, in addition to promoting continuity of care
- ◆ Planning and preparation may reduce revenue lost and child care provider liability
- ◆ Recovery—child care is a vital service to the community, and the speed at which child care is able to recover affects the overall recovery of the community

Implementation of the CCDBG Act requires states to demonstrate in their CCDF Plans how they will address the needs of children in child care services provided through CCDF, including the need for safe child care before, during, and after a state of emergency declared by the governor or a major natural disaster or human-caused event or emergency as defined in section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122).¹²

States must do the following:

1. Develop a statewide child care disaster plan with the following required entities.
 - a. State human services agency
 - b. State emergency management agency
 - c. State child care licensing agency
 - d. State health department or public health department
 - e. Local and state child care resource and referral (CCR&R) agencies
 - f. State Advisory Council on Early Childhood Education and Care or similar coordinating body
2. Include guidelines for the continuation of child care subsidies
3. Include guidelines for the continuation of child care services
4. Include procedures for the coordination of post-disaster recovery of child care services
5. Contain procedures for staff and volunteer emergency preparedness training
6. Contain procedures for staff and volunteer practice drills

A statewide child care disaster plan, separate from the state's continuity-of-operations plan (a state-level plan developed to assure the continued performance of essential functions under a broad range of circumstances), must be developed for coordination of activities and collaboration among state agencies and other key partners.

¹² Robert T. Stafford Disaster Relief and Emergency Assistance Act, Sec.102 (42 U.S.C. § 5122).

The child care disaster plan must address the following components for providers serving children in CCDF child care services (both licensed and license-exempt):

- Evacuation, relocation, shelter-in-place, and lockdown procedures
- Procedures for communication and reunification with families
- Continuity of operations
- Accommodation of infants and toddlers, children with disabilities, and children with chronic medical conditions

CCDBG Act of 2014 658E(c)(2)(U) and Child Care and Development Fund, 45 C.F.R. § 98.16(aa) (2016).

States must also identify the requirements that ensure that staff and volunteers in settings that receive CCDF funds receive emergency preparedness training and practice drills.

In addition, the statewide child care disaster plan must provide guidelines for the continuation of child care services, including, but not limited to, provision of emergency and temporary child care services, and temporary operating standards for child care providers after a disaster.

Disaster Planning and Preparedness Resources

Lead Agencies may find the following content useful in their efforts but should not rely on these documents to assure compliance.

- ◆ [Child Care Resources for Disasters and Emergencies](#) (Office of Child Care web page)
- ◆ [Statewide Disaster Plan \(or Disaster Plan for a Tribe's service area\) for Child Care](#) (Information memorandum CCDF-ACF-IM-2017-0, November 27, 2017)
 - [Appendix A: Checklist for Developing Child Care Emergency Preparedness and Response Plans](#)
 - [Appendix B: Emergency Preparedness and Response Resources for Child Care](#)
- ◆ [Transmittal of Federal Emergency Management Agency \(FEMA\) Disaster Assistance Guidance—Public Assistance for Child Care Services](#) (Information memorandum CCDF-ACF-IM-2010-01, July 6, 2010, Last Reviewed March 1, 2018)
- ◆ [Flexibility in Spending CCDF Funds in Response to Federal or State Declared Emergency Situations](#) (Information memorandum CCDF-ACF-IM-2017-02, December 6, 2017)
- ◆ [Emergency Preparedness, Response, and Recovery \(EPRR\) Discussion Brief Series](#) (September 2017). These briefs are provided to CCDF grantees and their partners to offer guidance regarding strategies and options for consideration in the development of state and territory child care disaster plans.
 - [How States and Territories Can Plan to Recover](#): This brief discusses approaches and strategies to support recovery of child care operations as well as children and families.
 - [How States and Territories Prepare to Support Special Populations in Emergencies and Disasters](#): This brief provides considerations for planning for the needs of infants and toddlers, children with disabilities and children with special medical conditions.
 - [Continuation of Child Care Services: Louisiana's Experience](#): This brief describes one state's responses to disaster in its CCDF program across licensing, subsidy, and the early childhood workforce.

- [What Data Are Needed to Support Planning, Response, Recovery?](#): This brief addresses what information and data are needed following disaster.
- [How Do States and Territories Plan for and Respond to Hostile Intruder Incidents?](#): Child care programs need to plan for lockdown, and this brief discusses how CCDF Lead Agencies can support their planning and preparation, response, and recovery.
- ◆ [Responding to the Needs of Children and Families Following Disaster](#): American Psychological Association

Tribes and Tribal Organizations

There are more than 500 federally recognized tribes in the United States, each with its own unique language and culture. More than 4.2 million people are enrolled in federally recognized tribes in the U.S.

Though this resource guide is not intended as a definitive resource for tribal CCDF Administrators, the Act does provide an expectation that states and tribes and tribal organizations will coordinate on key aspects of child care services. Further, it is helpful for Lead Agencies to have an understanding of the funding parameters and expectations for the tribes and tribal organizations in their state. Resources for American Indian and Alaska Native CCDF grantees are located on the [Child Care Technical Assistance Network website](#). **Note:** For the purposes of this section, the word *tribe* is used inclusively for tribes and tribal organizations.



Source: U.S. Census Bureau. (2010). *2010 American Indians and Alaska Natives in the United States map*.
<https://www.census.gov/geographies/reference-maps/2010/geo/aian-wallmaps-2010.html>

State-Tribal Collaboration

The CCDBG Act includes several provisions that increase the need for close coordination between states and tribes in implementing their CCDF-funded child care services. Under the law, states must do the following:

- ◆ Consult and coordinate with tribes in their state in a timely manner in the development of the CCDF Plan (at the tribe's option).¹³ States must also be proactive in reaching out to tribal officials for collaboration and are required to describe in their Plans how they collaborated and coordinated with tribes.
- ◆ Ensure that required training and professional development offerings are accessible to CCDF child care providers supported through Indian tribes or tribal organizations and, to the extent practicable, appropriate for American Indian and Alaska Native children.¹⁴
- ◆ Describe in their CCDF Plans how they coordinate services with a number of different groups, including tribal early childhood programs, in order to expand accessibility and continuity of care, and to help children receive full-day services.¹⁵

¹³ CCDBG Act of 2014 658E(c)(2)(G)(ii); Child Care and Development Fund, 45 C.F.R. § 98.14(a)(1) (2016).

¹⁴ CCDBG Act of 2014 658D(b)(1)(E); Child Care and Development Fund, 45 C.F.R. § 98.44(b) (2016).

¹⁵ CCDBG Act of 2014 658E(c)(2)(O)(i); Child Care and Development Fund, 45 C.F.R. § 98.14(a)(1) (2016).

- ◆ Demonstrate how they are encouraging partnerships among other entities, including tribes and tribal organizations, to leverage existing service delivery systems for child care and development services, and to increase the supply and quality of child care services.¹⁶

In addition to the required areas of coordination, states are encouraged to engage in government-to-government dialogue and collaboration with tribes as key stakeholders in *all* aspects of their CCDF program development and implementation.

Tribal Allocations¹⁷

Through the CCDBG Act, American Indian and Alaska Native (AI/AN) grantees will receive no less than 2 percent of discretionary CCDF funding and up to 2 percent of mandatory CCDF funding. More than 500 federally recognized Indian tribes, Alaska Native villages, and a Native Hawaiian organization access these CCDF funds directly or through consortium arrangements.

The CCDF final rule recognizes that tribes receiving smaller CCDF grants may not have sufficient resources or infrastructure to effectively operate a program that complies with all CCDF requirements. Therefore, the final rule laid out three categories of tribal CCDF grants, with thresholds established by the HHS Secretary: large allocations, medium allocations, and small allocations. Each category is paired with different levels of CCDF requirements, with tribes receiving the largest allocations expected to meet most CCDF requirements. To account for the size of the grant awards, tribes receiving smaller allocations are exempt from specific provisions.

Tribal Grantee Allocations

- **Large:** Receives more than \$1 million in funding
- **Medium:** Receives between \$250,000 and \$1 million
- **Small:** Receives less than \$250,000

The main distinctions between requirements for each tribal grantee category are outlined below. **This high-level overview is not inclusive. Refer to the final rule for more details on requirements for tribes and tribal organizations.**

According to the final rule, large-allocation grantees (receiving more than \$1 million in funding) are

- ◆ subject to the majority of CCDF requirements;
- ◆ exempt from some requirements, including, but not limited to, the consumer education website, the requirement to have licensing for child care services, the market rate survey or ACF pre-approved alternative methodology (though they are still required to have rates that support quality), and the training and professional development framework;
- ◆ subject to the monitoring requirements, but allowed the flexibility to propose an alternative monitoring methodology in their Plans; and
- ◆ subject to the background check requirements, but allowed to propose an alternative background check approach in their Plans.

Medium-allocation grantees (with funding levels between \$250,000 and \$1 million) are

- ◆ allowed the same exemptions as the large allocation category, and
- ◆ exempt from operating a certificate program.

¹⁶ CCDBG Act of 2014 658E(c)(2)(P).

¹⁷ Office of Child Care. (2016). *CCDF final rule tribal fact sheet*. U.S. Department of Health and Human Services, Administration for Children and Families. <https://www.acf.hhs.gov/occ/fact-sheet/ccdf-final-rule-tribal-fact-sheet>

Small-allocation grantees (with funding levels below \$250,000) are exempt from the majority of CCDF requirements, including the exemptions for large- and medium-allocation categories.

- ◆ Small-allocation grantees must spend their funds in alignment with CCDF goals and purposes.
- ◆ These grantees will submit an abbreviated CCDF Plan.
- ◆ They are subject to
 - the health and safety requirements;
 - the monitoring requirements;
 - the background check requirements;
 - the quality spending requirements (except the infant and toddler quality spending requirements);
 - the eligibility definitions of Indian child and Indian reservation and service area;
 - the 15 percent administrative cap;
 - the fiscal, audit, and reporting requirements; and
 - any other requirement defined by the Secretary of HHS.

The CCDBG Act reaffirmed tribes' ability to request to use CCDF funds for construction or renovation purposes. The Act continues to disallow the use of CCDF funds for construction or renovation if the work will result in a decrease in the level of child care services. However, the Act now allows for a waiver for this clause if the decrease in child care services is temporary. Tribes are also required to submit a plan to the Administration for Children and Families demonstrating that the level of child care services will increase or the quality of child care services will improve after the construction or renovation is completed.¹⁸

Some states have associations or organizations that bring AI/AN CCDF Administrators together. The National Indian Child Care Association (NICCA) is also a good resource for AI/AN CCDF Administrators. NICCA is a national organization whose mission is "to promote high quality culturally relevant child care and development and to unify tribes and tribal organizations by providing leadership, support and advocacy on behalf of American Indians, Alaska Natives, and Native Hawaiians."¹⁹

The CCDF regulations provide significant flexibility for tribes to design and administer their programs to best address the unique needs of their communities. In addition, the law and regulations assure that AI/AN children are not excluded from state CCDF services as a result of their eligibility for tribal CCDF services. This is referred to as dual eligibility. To receive services under a program, the child must still meet other specific eligibility criteria of that program. The CCDBG Act does not allow a state to have a blanket policy making American Indian and Alaska Native (AI/AN) children ineligible for the state's child care program.

¹⁸ CCDBG Act of 2014 658O(c)(6); Child Care and Development Fund, 45 C.F.R. § 98.12(c) (2016).

¹⁹ National Indian Child Care Association. *About us*. <https://www.nicca.us/about>

Appendix A. Glossary and List of Acronyms

Glossary of Key Terms

CCDBG: Created by the Omnibus Budget and Reconciliation Act of 1990. The CCDBG was reauthorized in 1996 under the Personal Responsibility and Work Opportunity Reconciliation Act of 1996. Funding began in FY 1991 to provide states the opportunity to increase the availability, affordability, and quality of child care services. In November 2014, the CCDBG Act of 2014 was enacted into law.

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

Note: CCDF is the regulatory term; this language is not directly found in the statutes.

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

Temporary Assistance for Needy Families (TANF): A comprehensive welfare reform program with time-limited assistance that focuses on moving recipients into work. TANF assistance to families can include child care, and states and territories can transfer 30 percent of TANF funds to the child care program. Once TANF funds are transferred, requirements of CCDF must be met for any services supported by the transferred funds.

Abbreviations and Acronyms

ACF	Administration for Children and Families
ACYF	Administration on Children, Youth, and Families
AFDC	Aid to Families with Dependent Children
AI/AN	American Indian and Alaska Native; may also be referred to as tribal
CACFP	Child and Adult Care Food Program
CAPTA	Child Abuse Prevention and Treatment Act
CBC	Comprehensive background check
CCDBG	Child Care and Development Block Grant
CCDF	Child Care and Development Fund
CCR&R	Child care resource and referral (often used in the context of CCR&R agencies)
CCTAN	Child Care Technical Assistance Network
C.F.R.	Code of Federal Regulations
ECE	Early Childhood Education
EHCY	Education for Homeless Children and Youth
ELDGs	Early learning and development guidelines
EPSDT	Early and Periodic Screening, Diagnosis, and Treatment
FFY and FY	Federal fiscal year and fiscal year
HHS	U.S. Department of Health and Human Services
HS	Head Start
IDEA	Individuals with Disabilities Education Act
IM	Information memorandum
IPIA	Improper Payments Information Act of 2002
I/T	Infant and toddler
JOBS	Job Opportunities and Basic Skills

LEA	Local educational agency
LIHEAP	Low-Income Home Energy Assistance Program
MRS	Market rate survey
MOE	Maintenance of effort
NAEYC	National Association for the Education of Young Children
NAFCC	National Association for Family Child Care
NARA	National Association for Regulatory Administration
NICCA	National Indian Child Care Association
OCC	Office of Child Care
OHS	Office of Head Start
OMB	Office of Management and Budget
PCQC	Provider Cost of Quality Calculator
PI	Program Instruction
PRWORA	Personal Responsibility and Work Opportunity Reconciliation Act of 1996
QPR	Quality Progress Report
QRIS	Quality rating and improvement system
RO	Regional office (Office of Child Care)
RPM	Regional Program Manager
SAC	State Advisory Council
SCHIP	State Children’s Health Insurance Program
SDAP	Sampling Decisions, Assurances, and Fieldwork Preparation Plan
SNAP	Supplemental Nutrition Assistance Program
SMI	State median income
TA	Technical assistance
T&TA	Training and technical assistance

TANF	Temporary Assistance for Needy Families
U.S.C.	United States Code
WIC	Special Supplemental Nutrition Program for Women, Infants, and Children

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**State Capacity Building Center,
A Service of the Office of Child Care**

9300 Lee Highway
Fairfax, VA 22031

Phone: 877-296-2401
Email: CapacityBuildingCenter@ecetta.info

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