



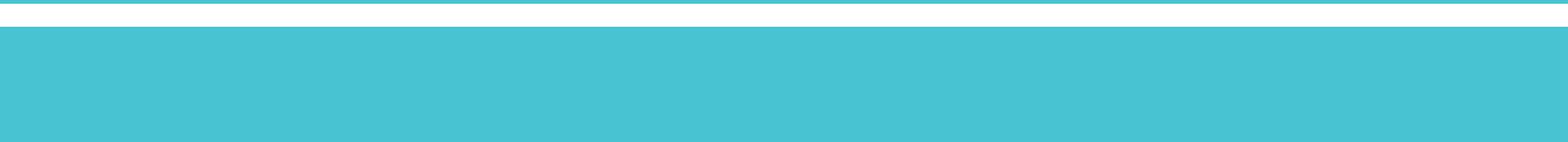
DEPARTMENT OF HEALTH & HUMAN SERVICES

Tribal Child Care & Development Fund

Guide for New Administrators

ADMINISTRATION FOR
CHILDREN & FAMILIES





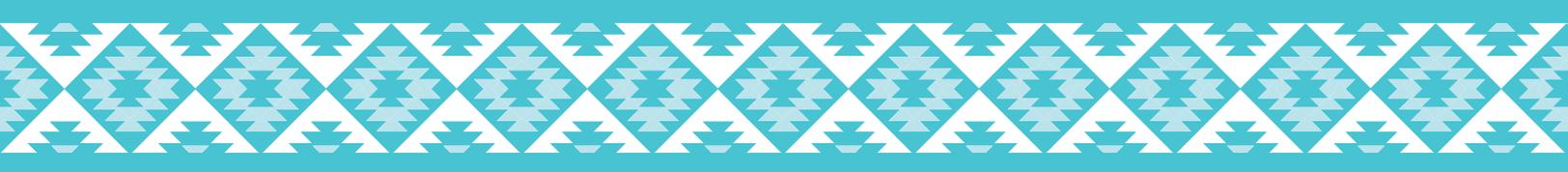


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INTRODUCTION

Tribal Child Care and Development Fund administrators work each day to ensure that the children and families in tribal communities have the child care services that best meet their needs. The Child Care and Development Fund (CCDF)¹, a Federal block grant for States, Tribes, and Territories, is a key resource to help increase the availability, affordability, and quality of child care services. With Child Care and Development Funds, tribal CCDF administrators can support low-income families, families receiving temporary public assistance, and those transitioning from public assistance in obtaining child care services so they may work, attend training, or participate in educational activities.

Developed from information and resources provided at national and regional trainings for tribal CCDF administrators², this Guide brings together the technical and practical aspects of tribal CCDF administration. Examples are provided to illustrate the various ways that tribal CCDF administrators have responded to the needs of children and families served through the child care assistance program. Footnotes point to sources of additional information, including guidance issued by the Office of Child Care (OCC) and specific sections of the Federal regulations that govern the CCDF program.

IMPORTANT NOTICE: PLEASE READ BEFORE USING THIS GUIDE

This Guide was developed to provide general information for those beginning to administer or oversee tribal CCDF programs. Tribal CCDF administrators should always consult the regulations and current CCDF guidance for the most comprehensive and up-to-date information on the management of a tribal CCDF program. When questions of policy arise, representatives of the Office of Child Care's Regional Offices should be consulted.

THE OFFICE OF CHILD CARE

The Office of Child Care, Administration for Children and Families (ACF), U.S. Department of Health and Human Services (HHS) administers CCDF at the Federal level, providing support and guidance to CCDF grantees in designing child care subsidy programs that are child focused, family friendly, and fair to providers. These child care subsidy programs serve children birth through age twelve through all sectors of the early childhood and school age field. OCC's aim is to integrate child development goals and family self-sufficiency goals in order to promote increased stability and higher quality services that lead to improved child and family outcomes. The OCC Regional Program Managers³, located in each ACF Regional Office, are integral partners with the Tribal, State, and Territory Lead Agencies in the administration of the CCDF funds. These OCC Regional Program Managers and their staff members work with tribal grantees as the primary Federal point of contact for CCDF administration.

¹ *Federal Regulations that govern the Child Care and Development Fund: 45 CFR Parts 98 and 99; Final Rule.* <http://www.acf.hhs.gov/programs/occlaw/finalrul>

² *For additional resources on CCDF Administration, contact the National Center on Tribal Child Care Implementation and Innovation (National Tribal Center or NTC) at 1-800-388-7670 or ntc@cditeam.org.*

³ *A list of OCC Regional Offices is available in Appendix B.*



TRIBES AND THE CHILD CARE AND DEVELOPMENT FUND

In order to qualify for CCDF funds, Tribes must be Federally recognized and the tribal population must include at least 50 children under age 13 living on or near the reservation or service area (the reservation requirement does not apply to Tribes in Alaska, California, and Oklahoma). A Tribe with fewer than 50 children under age 13 may participate in a consortium of eligible Tribes.⁴ Tribal grantees must designate a **Lead Agency**⁵ to apply for funding and be accountable for administering the CCDF program. Within the broad framework of Federal regulations governing the CCDF program, the Tribal Lead Agency has considerable flexibility in administering and implementing the child care program, determining the basic use of the funds, and identifying spending priorities based on the unique and specific needs of the Indian children and families in the tribal community.

KEY RESPONSIBILITIES OF THE TRIBAL LEAD AGENCY:

- Serve as the single point of contact for administering the CCDF program;
- Create rules and regulations for the local tribal child care program;
- Submit required programmatic and fiscal reports;
- Consult with the Tribal Council and others in the community in the development of the CCDF Plan;
- Coordinate CCDF-funded services with other Federal, state, local, and tribal child care and early childhood development programs, including the relevant CCDF State Lead Agencies;
- Develop the CCDF Plan in accordance with ACF regulations, including holding a public hearing; and
- May contract with other agencies to administer the child care program, but must oversee expenditures and maintain control to ensure compliance with CCDF regulations and the tribal CCDF Plan.

Tribal CCDF programs can be administered in one of two ways, either through the **traditional** grantee process or through consolidation of CCDF with other employment and training funding sources under a P.L. 102-477 (The Indian Employment, Training and Related Services Demonstration Act) Plan. Much of the information in this document focuses on the traditional method of tribal CCDF administration. Because consolidation of CCDF under P.L. 102-477 involves different plan and reporting requirements, programs operating under **P.L. 102-477** should refer to page 6 prior to reviewing the rest of this document. If you are unsure about which administration mechanism your CCDF program uses, please contact your Regional Office.

⁴ *Final Rule: Grantee Eligibility: 98.80.*

⁵ *Final Rule: Lead Agency Responsibilities: 98.10.*



APPLYING FOR CHILD CARE AND DEVELOPMENT FUNDS

Each spring, the Office of Child Care mails a Program Instruction⁶ (PI) to tribal CCDF grantees that describes the application procedures for the CCDF monies for the upcoming fiscal year. The Federal Fiscal Year starts October 1 and ends September 30. To receive Child Care and Development Funds, Tribes must submit a Plan every two years (biennial Plan) and a funding application every year. In years that Plans are not submitted (even-numbered calendar years are non-Plan years), the Tribal Lead Agency shall apply for funding by submitting a completed and signed Child Count Declaration. The **Child Count Declaration** certifies the number of Indian children (as defined by the Tribe) under age 13 who reside on or near the Tribe's reservation or CCDF service area.⁷ The governing body of the Tribe or a person authorized to act for the applicant Tribe or organization must sign (self-certify) the Child Count Declaration. For the years in which the Tribal Lead Agency submits the biennial CCDF plan, the Plan itself serves as the application and includes the Child Count Declaration. The Child Count Declaration is then used by ACF to calculate the amount of the grant award.

DEVELOPING THE BIENNIAL TRIBAL CCDF PLAN

Every two years (in odd-numbered calendar years), as part of the application process described above, each eligible Tribe or consortium submits a tribal CCDF Plan. The Office of Child Care provides a “**preprint**” of the Plan to be used as the framework for describing the child care program and services available to the tribal community.⁸ The Plan must be submitted to the appropriate Regional Office for review by July 1. After final review and approval, the Plan becomes effective for a two-year period beginning on October 1 of the funding year.

Developing the tribal CCDF Plan is an opportunity to establish the goals and priorities for serving the children and families of the tribal community. In the development of the CCDF Plan, Tribes are required to coordinate with Federal, State, and local child care, early education, and after-school programs; consult with local government; and coordinate services with the State and tribal agencies responsible for health services (including immunizations); education; employment services and workforce development; and Temporary Assistance for Needy Families (TANF).

Additionally, the grantee must hold at least one **public hearing**⁹ to seek input from members of the tribal community on the use of the child care funds. Public hearings provide an opportunity to receive input from parents; other family members, such as grandparents, aunts, and uncles; child care providers; tribal leaders; and the broader tribal community. Public hearings can help galvanize support for early childhood programs and build awareness of the needs of Indian children and families. CCDF regulations require that the public hearing be held before the Plan is submitted to ACF, but no earlier than 9 months prior to the effective date of the CCDF Plan (that is, between January and June of the Plan year) and that the public be given a minimum of 20 days notice about the hearing. The notice must be made available across the reservation or service area. In order for the input received through the public hearing process to be most relevant to the Plan submitted, copies of the proposed Plan should be made available to the public prior to the public hearing.

⁶ See http://www.acf.hhs.gov/programs/occlaw/tribal_topic.htm for the most current Program Instruction on Tribal Application and Plan Procedures.

⁷ The Tribal Lead Agency defines “Indian children” and “service area” in Section 1.4 of its CCDF Plan. The Tribe may not count any children who are included in the child count of another CCDF Tribal Lead Agency. To ensure unduplicated counts, a Tribal Lead Agency is required to confer with all other Tribal CCDF Lead Agencies that have overlapping or neighboring service areas.

⁸ See http://www.acf.hhs.gov/programs/occlaw/tribal_topic.htm for the most current Plan Preprint, which is part of the current Program Instruction on Tribal Application and Plan Procedures.

⁹ Final Rule: Public Hearings: 98.14(c)(1).



The regulations do not specify where or how the public hearing should be held, as long as “the hearing allows for the necessary public input required by the [Child Care and Development Block Grant] Act.”¹⁰ Therefore the Tribal Lead Agency has the flexibility to conduct the public hearing as a stand-alone event or in conjunction with other events, such as Tribal Council hearings, meetings of relevant community planning committees, potluck dinners, etc.

FUNDING ALLOCATIONS AND REPORTING

The tribal CCDF is comprised of Federal Discretionary and Mandatory Funds. No tribal match is required to receive and use these funds. The Discretionary Funds include a **base amount** (\$20,000 for Tribes with at least 50 Indian children under 13; base amounts for tribal consortia will differ) plus a per-child amount. The base amount provides an important source of funds that can be used for any costs that are consistent with CCDF program parameters. The base amount can provide an opportunity to develop the infrastructure and capacity of the Tribe to operate a child care program and can be used for administrative costs, direct child care services to children, non-direct services, or quality/availability activities. Additionally, Tribes receive Discretionary Funds targeted specifically for school-age services—such as before- and after-school programs—and resource and referral services, such as those that provide consumer education to help families know about the availability of the CCDF program and how to find child care services to meet the needs of their children. The amount of Mandatory Funds received is calculated solely on a per-child basis. The Mandatory and Discretionary per-child amounts are based on the information reported in the annual Child Count Declaration.

CCDF funds are available to the Tribal Lead Agency each year soon after October 1—the beginning of the Federal Fiscal Year (FY or FFY). Tribal grantees have two years to **obligate** (formally commit, such as through a contract or other legally-binding agreement) the funds, and an additional year to **liquidate** (pay out) the funds. By April 1 of each year, tribal grantees are required to send a letter to ACF projecting any amounts they will not be able to obligate by the end of the second year. If certain conditions are met, unobligated Discretionary funds may then be reallocated to other Tribes. Any funds not obligated and liquidated in the required timeframes revert back to the Federal government.

The Child Care and Development Fund Financial Report is known as the **ACF-696T**. Tribes (except those receiving CCDF funds through a P.L. 102-477 consolidation plan, as described on page 6) are required to use the ACF-696T to report expenditures for the tribal Mandatory, Discretionary, and Construction/Renovation funds issued under the CCDF. Reports are required to be submitted annually on or before December 29th, which allows 90 days after the close of the fiscal year for completion.^{11,12}

CCDF funds are available for use in more than one fiscal year, allowing for short-and long-term planning. Since grantees must report on the unobligated balance and the unliquidated obligations for each fiscal year, more than one ACF-696T financial report may need to be submitted in a calendar year.

The ACF-696T report tracks CCDF expenditures in the following cost categories¹³:

- Child care services (direct services to children);
- Child care administration;

¹⁰ *Final Rule: Preamble, Plan Process: 98.14.*

¹¹ See http://www.acf.hhs.gov/programs/occ/law/tribal_topic.htm for the most current Program Instruction on Financial Reporting for Indian Tribes.

¹² See http://www.acf.hhs.gov/programs/occ/report/tr_ovrvw.htm for the Reporting Overview for Tribes.

¹³ For more information about direct services, see page 9. Information about the other ACF-696T cost categories can be found in the FINANCIAL MANAGEMENT section, which begins on page 13.

- Non-direct services;
- Quality activities; and
- Construction/renovation expenditures.

Tribal Lead Agencies have the option of submitting their ACF-696T either manually by mailing hard copies or through the Internet using Online Data Collection (OLDC). ACF encourages grantees to use the OLDC since it reduces paperwork, allows for quicker processing, automatically completes required calculations, and checks for potential errors. Access to OLDC is password-protected; Tribal Lead Agencies can request access to the system using the Request for OLDC Access form, which is available online (along with OLDC help sheets, user guides, and interactive tutorials) at <https://extranet.acf.hhs.gov/oldcdocs/materials.html>.

CONSTRUCTION AND RENOVATION

Tribes may use some of their CCDF funds for the construction and major/minor renovation of child care facilities. The Tribal Lead Agency must first request and receive approval from ACF before using CCDF funds for construction or major renovation. Early in the planning process¹⁴, Tribes are advised to contact their respective ACF Regional Office in order to determine whether or not a construction application is required.

Tribes receiving CCDF funds are required to follow ACF's application and fiscal procedures for construction or major renovation projects.¹⁵ These procedures require the Tribal Lead Agency to show that adequate child care facilities are not available and that the lack of facilities will inhibit future program operations. Before submitting a construction application, the Tribal Lead Agency must conduct a community needs assessment to determine the need for construction or major renovation and, if so, how the facility can be developed in a manner that best meets community needs. Use of funds for construction or major renovation cannot result in a decrease in the level of child care services compared to the preceding fiscal year. If a Tribe constructs or renovates more than one facility, it must seek ACF approval for each project (even if the projects use identical plans and specifications). A Tribal Lead Agency may, however, use a single application to seek approval for more than one project, as long as all required information is provided for each project.

A Tribal Lead Agency may submit an application at any time (although, in order to use CCDF funds awarded in a given fiscal year on construction or major renovation, a Tribal Lead Agency must submit an application prior to July 1 of that fiscal year). Child care staff in the ACF Regional Office have responsibility for reviewing applications (including applications from tribal grantees with approved plans under Public Law 102-477). ACF will review the application for completeness and adherence to the application requirements described in the Program Instruction. ACF will contact the Tribal Lead Agency for any additional information if an application is incomplete.

The amount of time required for the review process varies depending on the thoroughness of the application in addressing all necessary issues, and other factors. Generally, ACF will attempt to respond to complete applications within 30 days, and will notify the applicant if additional time is necessary.

Once a decision is made, ACF will notify the Tribal Lead Agency in writing regarding whether or not a request is approved. The notification will include a specific amount of CCDF funds that can be used for construction or renovation, based on the Tribal Lead Agency's cost estimate in its application. The Tribal Lead

¹⁴ See Tribal Child Care Facilities: A Guide to Construction and Renovation for information on planning and other phases of the construction and renovation process. Available in hard copy from NTC.

¹⁵ Program Instruction CCDF-ACF-PI-2010-03, CCDF Construction and Renovation Procedures for Indian Tribes, dated April 7, 2010. This Program Instruction is available under the "Construction and Renovation" section of the Office of Child Care's Web site at http://www.acf.hhs.gov/programs/occ/law/tribal_topic.htm.



Agency may not spend more than the approved amount of CCDF funds on construction and renovation, unless it submits and receives approval for an amended application. However, the Tribal Lead Agency may use non-CCDF funds or leverage other monies for construction or renovation.

PUBLIC LAW 102-477¹⁶

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

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

P.L. 102-477 permits tribal governments to consolidate a number of Federal programs into a single, coordinated comprehensive program. The CCDF is one of the programs that Tribes may include in the operation of a P.L. 102-477 program. The Department of the Interior serves as the lead Federal agency for all P.L. 102-477 plans. Eligible tribal applicants may choose to streamline tribal services by submitting a consolidated plan to the Department of the Interior.

Each spring, the Office of Child Care mails current 102-477 grantees a Program Instruction that contains CCDF application and plan requirements and other procedures for consolidating the CCDF program with other employment and training funding sources under a P.L. 102-477 plan. The Office of Child Care's annual Program Instruction conveying the fiscal year CCDF application requirements also references the P.L. 102-477 funding option.

To receive CCDF funding under a consolidated P.L. 102-477 plan, all tribal grantees and tribal applicants must:

1. Be eligible to receive CCDF funding;
2. Submit, and receive OCC approval of, an abbreviated CCDF plan;
3. Have no outstanding CCDF program (ACF-700) or financial (ACF-696T) reports (applicable only to those Tribes submitting initial P.L. 102-477 plans); and
4. Have received approval from the Department of the Interior for a consolidated P.L. 102-477 plan that includes CCDF.

Tribes that have received approval to consolidate CCDF funds under a P.L. 102-477 plan submit an annual child count to the Office of Child Care, but are not required to submit the biennial CCDF plan, the annual ACF-700 program data reporting form, or the annual ACF-696T financial reporting form.

Grantees operating CCDF under a P.L. 102-477 plan must operate a comprehensive CCDF program in accordance with the provisions of the CCDBG Act of 1990, as amended, and the implementing regulations at 45 CFR 98 and 99, and must use all of the CCDF funds for child care purposes as defined by CCDF. They must also conform with all P.L. 102-477 grantee requirements, including the consolidated plan and reporting requirements.

¹⁶ See http://www.acf.hhs.gov/programs/occ/law/tribal_topic.htm for the most current Program Instruction on Application and Plan Procedures for 102-477 Grantees.

PROGRAM IMPLEMENTATION

In order to best meet the needs of children and families as they pursue financial self-sufficiency and school success for their children, the Child Care and Development Fund allows grantees a great deal of flexibility and broad discretion in designing high-quality child care services that are developmentally and culturally appropriate. Research shows that high-quality early care and education programs can improve the developmental outcomes of children, producing long-term as well as short-term gains on measures of school achievement and success in young adulthood.¹⁷

DOES CHILD CARE QUALITY MATTER?

“Our review of the research literature indicates that child care quality matters at several levels. In terms of children’s everyday experiences, children appear happier and more cognitively engaged in settings in which caregivers are interacting with them in positive ways and in settings in which child [to] adult ratios are lower. Children who attend higher-quality child care settings (measured by caregiver behaviors, by [the condition of] physical facilities, by age-appropriate activities, and by structural and caregiver characteristics) display better cognitive, language, and social competencies... [T]here is [also] evidence that child care quality is related to children’s subsequent competencies.”

Child Care Quality: Does It Matter and Does It Need to be Improved? D.L. Vandell and B. Wolfe, Institute for Research on Poverty, University of Wisconsin–Madison, 2000.
<http://aspe.hhs.gov/hsp/ccquality00/index.htm>

Equally important, child care supports work and self-sufficiency for low-income families, including families transitioning from TANF. Research suggests that child care subsidies can increase the likelihood that low-income parents will find and sustain paid employment.

The flexibility of CCDF gives Lead Agencies the opportunity and responsibility to design child care assistance systems that support the long-term, sustainable success of children and families. Many program options exist for developing and implementing responsive child care services; however, there are also a number of CCDF requirements that must be met, including requirements on the eligibility of participating families and child care providers.

WHO IS SERVED BY CCDF? FAMILY ELIGIBILITY REQUIREMENTS¹⁸

By law, CCDF programs can serve families with children under the age of 13 (or, if the child is mentally or physically incapable of self-care or is under court supervision, the Tribal Lead Agency has the option of serving children up to, but not including, age 19) who meet the following eligibility criteria:

- Children must reside with parents, or individuals acting *in loco parentis*, who are working or participating in education or training activities.
- **Family income** must be at or below 85% of State or tribal **median income**; however, Tribes have the option to set a lower income threshold in order to target services to certain priority families/children.

¹⁷ Frank Porter Graham Child Development Center, “Early Learning, Later Success: The Abecedarian Study,” 1999; L.J. Schweinhart, et al., *Significant Benefits: The High Scope Perry Preschool Study Through Age 27*, HighScope Press, 1993.

¹⁸ Final Rule: *Eligibility for Services*: 98.20.

- Children receiving or in need of receiving protective services may be eligible for child care services. Tribes may also choose to provide respite care for children receiving protective services.^{19,20}
- Priority for CCDF services must be given to children with “special needs,” as defined in the Tribe’s CCDF Plan.

Within the broad framework established by the Federal statute and regulations, tribal CCDF programs have the flexibility to set additional eligibility requirements and to establish additional priority categories. This allows programs to target services to children and families with the greatest needs, such as families headed by teen parents or working families with incomes below the poverty level.

Under CCDF, Indian children have **dual eligibility**,²¹ meaning that a family could be eligible for services from both the State and tribal CCDF programs, if they meet the eligibility criteria of both programs. Therefore, States and Tribes are required to work in coordination to provide child care services for Indian children. An Indian child cannot receive duplicative assistance from both a tribal and a State program for the same expense. However, States and Tribes have the flexibility to work together to ensure that their separate expenditures meet the complete child care needs of the Indian child. For example, State CCDF dollars could be used to pay the subsidy for a particular Indian child during the hours the child’s parent is working and tribal CCDF dollars could be used to pay the subsidy for the same child during the hours the parent is going to school. States and Tribes have a mutual responsibility to coordinate to ensure that duplication of services and expenses does not occur.

Lead Agencies are responsible for ensuring that all children served in CCDF are eligible for the program; therefore, grantees should have procedures in place to document and verify child and family eligibility. At a minimum, Lead Agencies should verify and maintain proof of the child’s age, the family’s income, and the parent(s)’ participation in eligible work, education, or training activities, and eligibility should be redetermined at regular intervals. However, Lead Agencies should utilize the flexibility within the Federal law and regulations to ensure that the procedures for determining (and re-determining) eligibility promote continuity of care and do not create an unnecessary administrative burden for families. In a 2011 Information Memorandum (IM), OCC identified specific areas of flexibility and specific policies and practices that can help Lead Agencies balance the goals of program integrity and continuity of care. These include policies that utilize family-friendly eligibility definitions, make allowances for minor variations in family circumstance, and facilitate coordination with other early childhood programs (such as Head Start) to increase stability of services.²²

¹⁹ Tribal CCDF grantees can, at their discretion, allow children in foster care to be included under the CCDF program’s definition of “protective services.” Tribes considering this option should carefully coordinate their efforts with the appropriate foster care agencies [see Final Rule sections 98.20 (both the preamble and the amended regulations) and 98.16(f)(7), as well as Plan Preprint section 3.4.4]. Foster children may also be eligible for the CCDF program as a “family of one” or through the work, education, or training activities and income levels of the foster parents.

²⁰ Respite care in excess of 24 hours can be provided for brief, occasional periods for children in protective services. Respite care must be defined under “protective services” in the CCDF Plan [see Final Rule section 98.16(f)(7), as well as Plan Preprint section 3.4.4].

²¹ See http://www.acf.hhs.gov/programs/occ/law/tribal_topic.htm for the Program Instruction on Dual Eligibility for Indian Children.

²² See http://www.acf.hhs.gov/programs/occ/law/tribal_topic_eligibility.htm for the Information Memorandum on Policies and Practices that Promote Continuity of Child Care Services and Enhance Subsidy Systems, CCDF-ACF-IM-2011-06, dated September 21, 2011. For additional information on balancing Program Integrity, Financial Accountability, and Access to Child Care, see Program Instruction CCDF-ACF-PI-2010-06 for States and Territories, dated August 26, 2010, at http://www.acf.hhs.gov/programs/occ/law/state_topic_program_integrity.htm



WHO PROVIDES CHILD CARE SERVICES? PROVIDER ELIGIBILITY REQUIREMENTS

Child care providers who wish to serve families who participate in the CCDF program must be operating legally within the jurisdiction in which they operate. This means that providers must be licensed or regulated in their jurisdiction under State or tribal law, or must be legally exempt from regulation. For program data reporting purposes, all providers are designated as “Licensed/Regulated” or “CCDF Provider, No License Category Available.”

CCDF regulations define four categories of care based on the setting in which the child care takes place:

- **In-home child care** – care provided in the child’s home;
- **Family child care** – care provided by one caregiver (family child care provider) in a private residence other than the child’s residence;
- **Group home child care** – care provided by two or more caregivers in a private residence other than the child’s residence; and
- **Center-based child care** – group care provided in a facility outside of the child or provider’s home.

In each category of care, child care services are provided for fewer than 24 hours per day per child unless care in excess of 24 hours is due to the nature of the parent(s)’ work (for example, when care is provided for the child of a single-parent firefighter who works 24-hour shifts or for the child of a married couple whose work activity is multi-day subsistence hunting trips). The reference to “fewer than 24-hours” helps distinguish CCDF-eligible child care services from other kinds of care that may be provided to children, such as foster care or residential treatment.

Tribal CCDF-funded child care providers must also meet the Tribe’s health and safety standards (as described on page 11), as well as any other eligibility or operational requirements that the Tribal Lead Agency may establish.

Eligible family members (“relative caregivers”) can provide care through tribal CCDF in any of the four categories of care.

DIRECT SERVICES THROUGH CERTIFICATES²³, CONTRACTS, AND TRIBALLY-OPERATED CHILD CARE CENTERS

The majority of CCDF funding is spent on child care services provided directly to eligible children. There are three approaches for families to receive child care assistance through the subsidy system—certificates/vouchers, contracts/grants, and tribally-operated child care centers. Families may obtain a certificate (sometimes referred to as a voucher, as explained in the EXEMPT AND NON-EXEMPT GRANTEES section on page 10) that they can use to purchase the child care of their choice (from the full range of available providers that meet the eligibility requirements described above). If the tribal grantee has chosen to operate its own child care facility or to contract with, or provide grants to, eligible providers to make child care slots available to families who participate in the child care assistance program, parents then have the option to use a contracted provider or a tribal child care center instead of receiving a certificate.

The tribal CCDF grantee is responsible for ensuring that all providers of direct services (even its own tribally-operated child care center(s)) meet the provider eligibility requirements, follow applicable health and safety standards, and adhere to the grantee’s policies and procedures. The Lead Agency is also responsible for

²³ *Final Rule: Certificates and Contracts: Section 98.2.*



ensuring that the children and families provided with child care services meet the eligibility requirements set forth by the regulations and by the tribal CCDF program.

In addition to determining eligibility and meeting health and safety standards, Tribal Lead Agencies choosing to run their own child care centers must also manage the day-to-day operations of the center, including staffing, staff supervision, and professional development; family enrollment and payment processes; curriculum development; food service management; program administration, including fiscal management; facilities management; and organizing and equipping indoor and outdoor classroom space. The benefits of providing child care services through a tribally-operated child care center include having an early learning facility on or near tribal land; the ability to incorporate the Tribe's language and culture into the children's curriculum; the opportunity to coordinate services with other local early education providers, such as Head Start, Early Head Start, BabyFACE, and state-funded pre-K, and to integrate child care into the Tribe's lifelong learning continuum; and offering employment and training opportunities for tribal members interested in the early childhood education field.

EXEMPT AND NON-EXEMPT GRANTEES²⁴

Recognizing that a number of small tribal CCDF grantees do not have the infrastructure to support certain CCDF requirements, a fiscal criterion was established to “exempt” those Tribes from specified CCDF requirements. Tribal Lead Agencies receiving CCDF grants of less than \$500,000 are considered **exempt grantees**. Tribal Lead Agencies receiving allocations equal to or greater than \$500,000 for a fiscal year are considered **non-exempt grantees**. Exempt Tribes may choose to spend their child care funds all on direct services provided within tribal child care centers, all on contracts with other providers, all on a certificate/voucher program, or on a combination of these services. Exempt Tribes do not have to offer certificates/vouchers for all four categories of care described on page 9 (for example, an exempt grantee does not have to offer in-home care)—when all four categories are offered, an exempt grantee is operating a **certificate program**; when fewer categories of care are offered, the grantee is said to be operating a **voucher program**.

Non-exempt Tribes are required to operate a certificate program allowing parents to choose from all four categories of care, to spend a minimum of 4% of their CCDF dollars on **quality activities**²⁵, and to ensure that parents have the option of utilizing a certificate for care or enrolling their child with a CCDF-contracted provider (if contracts are offered). Although non-exempt Tribal Lead Agencies are required to offer in-home care, they may choose to limit its use and should describe any limits, and the justification for those limits, in their CCDF Plans.

PARENTAL RIGHTS OF CHOICE, ACCESS, AND INFORMATION²⁶

Parents have the primary influence on their children's development and are their child's first and most important teacher. Parents are invaluable partners for working together with child care programs so that they can meet the physical, emotional, social, and cognitive needs of the children.

Parents of children participating in tribal child care should, to the maximum extent possible, have the opportunity to choose from the full range of eligible provider options for their children's care. Providing a range of services and supports honors the needs and preferences of families for their children. Once care is chosen, parents must have unlimited access to their children during the provider's operating hours.

²⁴ Final Rule: Exempt/non-exempt: 98.83(f).

²⁵ For more information about quality activities, go to page 15.

²⁶ Final Rule: 98.30-98.34 (preamble and revised regulations).



The Tribal Lead Agency must maintain a record of substantiated parental complaints associated with CCDF programs and services and must make information regarding such parental complaints available to the public on request. The Tribal Lead Agency must also provide parents with **consumer education information**, such as brochures about child care quality or lists of local providers, to help them make informed choices when selecting a child care provider that best meets the needs of their family.

RESTRICTIONS ON THE USE OF FUNDS

For students enrolled in grades 1 through 12, CCDF may not be used for school tuition, any service provided during the regular school day, any service resulting in academic credit toward graduation, or instructional service that supplants or duplicates the academic program of any public or private school.

Funds provided under grants or contracts to providers may not be used for any sectarian purposes. However, child care certificates/vouchers may be used for sectarian purposes when provided as part of child care services. For example, a parent can use a CCDF certificate/voucher to pay for child care services provided in a church facility, even when part of the child care program includes worship or religious instruction. The reason for this distinction is that use of a certificate/voucher is an agreement between the parent and the provider whereas a contract or grant is an agreement between the CCDF program and the provider (and use of CCDF funds in the form of contracts and grants in this manner is restricted by law).

CCDF funds may not be used as part of the non-Federal share or match for any other Federal grant programs. CCDF funds also cannot be used to purchase land or an existing building or facility, although a Tribal Lead Agency may request to use CCDF funds to pay for the cost of constructing or renovating a modular unit, including the costs of buying and installing the unit.²⁷

HEALTH AND SAFETY STANDARDS

Child care standards are an important component of safeguarding and promoting the health and development of children in child care settings.²⁸ Health and safety standards are established by the tribal CCDF Program for all categories of care offered, and apply to all CCDF-funded providers regardless of licensing status, although certain relative caregivers (grandparents, great grandparents, aunts, uncles, and adult siblings living in a residence other than the child's home) can be exempted from some or all of the standards for their category. The CCDF program's health and safety standards must address, at a minimum, the areas of: prevention and control of infectious diseases; building and physical premises safety; and health and safety training.

The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 required HHS to develop, in consultation with Tribes and tribal organizations, minimum health and safety standards for tribal child care programs. The standards were issued as guidance in 2000; they were updated and republished as "Minimum Standards for Tribal Child Care: A Health and Safety Guide" in 2005, with an additional update published in 2008. These voluntary guidelines represent the baseline from which all programs should operate to ensure that children are cared for in healthy and safe environments. Many Tribes exceed these standards or use them as the starting point for developing their own tribal child care standards.²⁹

²⁷ See *Program Instruction CCDF-ACF-PI-2010-03, CCDF Construction and Renovation Procedures for Indian Tribes*, dated April 7, 2010, at http://www.acf.hhs.gov/programs/occlaw/tribal_topic.htm

²⁸ "At-a-Glance: A Place at the Policy Table for Infants and Toddlers," available online at <http://www.researchconnections.org/childcare/resources/12913>.

²⁹ *Minimum Standards for Tribal Child Care, A Health and Safety Guide*, available online at <http://www.acf.hhs.gov/programs/occlaw/pubs/ms/ms1.htm> or in hard copy from NTC.

Effective Program Strategy: DEVELOPING TRIBAL STANDARDS
Sisseton-Wahpeton Sioux Tribe

The Sisseton-Wahpeton Sioux Tribe's Child Care Program operates a certificate program allowing families to choose from the full-range of care options available in the community, and also offers contracts with local group homes and child care centers. The Tribe sought to create a framework through which the Child Care Program staff could measure a child care program's level of safety. In 2000, the Tribe's Child Care staff received permission from the Tribal Council to work with their in-house attorney to incorporate the Minimum Health and Safety Standards into their tribal child care code. In addition to incorporating most of the minimum standards, the final draft of the revised code included several higher standards, including strong standards for staff/child ratios and group sizes adapted from a neighboring State's regulations; standards for guidance and discipline; and Indian Health Service recommendations for immunizations and sanitation. The Child Care staff engaged in ongoing communication with the child care community throughout the process, including a significant investment in technical assistance to providers as the new standards were introduced.

PROGRAM DATA REPORTING

On an annual basis, Tribal CCDF Lead Agencies (except those grantees funded through P.L. 102-477) are required to submit information on the child care services that were provided during the fiscal year.³⁰ The Tribal CCDF Annual Report consists of two parts:

- The **ACF-700** Form collects data on all children and families receiving direct CCDF-funded child care services, and on the services provided.
- The Supplemental Narrative Report to the ACF-700 Form requests descriptions of the results of specific CCDF-funded activities available on the Tribal Lead Agency's reservation or CCDF service area. The Narrative Report provides the Lead Agency with an opportunity to tell the story of how, alone or in collaboration with others, it is working to improve the quality and availability of child care services in the communities it serves.

The Tribal Annual Report is submitted only one time each year, but relies on program information that must be captured and coded on a monthly basis throughout the year.

While Tribal Lead Agencies have the option of submitting their Annual Report by mail, the Office of Child Care encourages electronic submission of both the ACF-700 and Supplemental Narrative since it streamlines the processing and improves data quality. ACF-700 reports can be submitted through a password-protected web-based form on the ACF-700 Data Submission Center site (<https://extranet.acf.hhs.gov/acf700/login/login700.jsp>). Tribal Lead Agencies may also submit an electronic copy of the ACF-700 form and the Supplemental Narrative on a CD or flash drive or via e-mail. Tribal Lead Agencies may contact the National Center on Data and Technology (NCDT) for technical assistance or more information on the Annual Report. Contact information for NCDT may be found in Appendix B.

³⁰ See http://www.acf.hhs.gov/programs/occ/law/tribal_topic_data.htm for the most current Program Instruction on Reporting Requirements and Instructions for Indian Tribes.



REIMBURSEMENT RATES AND FAMILY FEES

CCDF grantees are required to conduct a local **market rate survey**³¹, within two years of the effective date of their currently approved CCDF Plan. A current market rate survey is used to determine the rates charged by child care providers, and paid by the families that receive child care services, within a certain geographical area. A tribal CCDF grantee may conduct its own market rate survey, or—if the Tribe's service area is included in the State's market rate survey and other criteria are met—the Tribe may use the State's survey results, to determine the maximum rates at which it will reimburse providers for the cost of authorized child care.³²

The objective in determining the market rate is to understand what the general population is being charged for child care services, so that subsidized child care providers can receive an adequate payment rate (reimbursement rate) and families who participate in the child care assistance program can have equal access to the full range of child care. When payment rates are too low, it may negatively impact the ability of providers to serve subsidized children.

Recognizing that market rate surveys may not be feasible for some Tribal Lead Agencies, OCC has identified certain limited circumstances under which a program may provide alternative documentation in lieu of a market rate survey. These limited circumstances include exempt Tribal Lead Agencies only providing CCDF services through one or more tribally-operated centers OR through unregulated home-based settings, as well as Tribal Lead Agencies whose service area does not include any providers serving non-CCDF-funded children. Details about the alternative documentation required under these limited circumstances can be found in the January 2009 Program Instruction on Market Rate Surveys, CCDF-ACF-PI-2009-02.

In addition to the amount of the subsidy, families are required to pay a portion of the child care fee, which is called a family **co-payment**. **Sliding fee scales**, which define different parent co-payments based, at a minimum, on family size and income, are used to help ensure that the parent fee is affordable. While there are no regulations that define affordability, it is suggested that co-payments which are no more than 10 percent of family income would generally be considered affordable.³³ Co-payments may be waived in two circumstances: 1) for families under the poverty level and, 2) on a case-by-case basis for families whose children are receiving protective services.³⁴

FINANCIAL MANAGEMENT³⁵

Effective and efficient financial management systems are an essential part of successful CCDF program operations. A financial management system is both a set of accounting records and the policies and procedures used to maintain those records accurately and in a timely fashion.

The following list describes general financial principles for administering Federally funded tribal programs:

- Contract and compliance requirements are fulfilled.
- Grant and contract funds are expended appropriately according to the intent of applicable statutes.
- Tribal laws and procedures are followed.

³¹ *Final Rule: Market Rate Survey: 98.43(b)(2).*

³² See http://www.acf.hhs.gov/programs/occ/law/tribal_topic_data.htm for CCDF-ACF-PI-2009-02 for the most current Program Instruction on Market Rate Surveys. Contact your Regional Office or NTC for additional guidance.

³³ *Final Rule: Preamble, Affordable co-payments: 98.43*

³⁴ *Final Rule: Sliding Fee Scales: 98.42(c) and Final Rule: A child's eligibility for child care services: 98.20(a)(3)(ii).*

³⁵ A more detailed discussion of tribal CCDF financial management responsibilities can be found in the publication, Tribal CCDF Guide to Financial Management, Grants Administration, and Program Accountability, available online at http://www.acf.hhs.gov/programs/occ/ta/pubs/tribal_ccdf/tribal_ccdf01.htm or in hard copy from NTC.

- Accounting records are maintained.
- Assets are safeguarded.
- Internal policies and procedures are developed and implemented and include a cost allocation plan.
- Internal control systems are adequate.
- Annual audit is conducted.

PROGRAM BUDGETS

Having a comprehensive budget in place can be a key factor to successful program operations because a realistic budget acts as the road map that guides the program throughout the year. The connection between the budget and program activities requires an intentional effort between the program and fiscal departments to work collaboratively to ensure that program activities are carried out within the framework of available financial resources. Successfully putting a budget in motion requires that programs develop and follow processes for informing and educating staff on resource allocations and cost constraints; routinely reviewing spending and sharing budget issues and concerns with accounting staff; and engaging staff in budget monitoring and cost containment efforts.

ADMINISTRATIVE COSTS³⁶

Tribal CCDF, like many other Federal grant programs, limits the amount of **administrative costs** that can be charged. Administrative costs include the organization-wide management functions of accounting, budgeting, coordination, direction, and planning, as well as the management of payroll, personnel, property, and purchasing. Such costs can be for either personnel or non-personnel functions. Of the total expenditures of CCDF Mandatory and Discretionary funds, no more than 15% can be used for administrative costs. The 15% cap applies to cumulative expenditures over the 3-year grant liquidation period. The base amount (described on page 4) is not subject to the administrative cap and is excluded from the calculation.

NON-DIRECT SERVICES³⁷

The **non-direct service** category is generally defined as the costs that do not fit into the administrative, construction, quality, or direct services cost categories. Expenditures that qualify as non-direct services do not count against the 15% administrative cap limitation. The following activities, including many components of establishing and operating a certificate/voucher program, may be considered non-direct costs:

- Eligibility determination and re-determination;
- Establishment and maintenance of computerized child care information systems;
- Preparation for, and participation in, judicial hearings;
- Child care placement;
- Recruitment, licensing, inspection, reviews, and supervision of child care placements;
- Rate setting;
- Resource and Referral services (may also be a quality activity); and
- Training of child care staff (providers of direct services).

³⁶ Final Rule: Administrative Costs: 98.83.

³⁷ Final Rule: Non-direct services: Preamble 98.52.



QUALITY ACTIVITIES³⁸

The CCDF regulations require non-exempt Tribes (those Tribes receiving \$500,000 or more) to spend *not less than four percent* on quality activities. These activities may include, but are not limited to, activities designed to provide comprehensive consumer education, increase parental choice, and improve the quality and availability of child care services. Like administrative costs, the quality expenditures are cumulative over the 3-year grant liquidation period and the 4% minimum for quality applies to total funds expended, rather than to the funds that are available but not used. Exempt grantees (those Tribes receiving less than \$500,000) are strongly encouraged to spend CCDF funds on quality activities but they are not required to meet this provision.

Tribal CCDF quality expenditures can be used to embrace the Tribe's vision to grow and nurture children and support their families through the delivery of comprehensive child care services. When quality funds are used to provide training and professional development for child care providers to enhance their knowledge and skills, or to assist providers in meeting health and safety standards, the result is improved care for the children. Similarly, using quality funds to improve provider compensation helps to build a reliable and stable workforce, which helps to improve program quality.

Tribal CCDF programs use quality funds to support cultural heritage, tribal traditions, and native language acquisition within a variety of early childhood settings, including in-home care, family child care, and center-based care. CCDF quality funds also may be used in ways that support establishing meaningful and on-going opportunities to involve families in policy decisions and program activities. Quality activities should occur within the context of tribal early childhood care and education programs and should be intentionally planned to ensure that they meet the program's goals.³⁹

COLLABORATION AND PARTNERSHIPS

Collaboration is a process of sharing both resources and power to achieve common goals. Tribal programs are especially good at recognizing their interdependence with one another, and they understand that the more they work together, the more they all gain. Collaboration greatly enhances an organization's chances of success. Collaboration can be effective among agencies, families, and neighborhoods because it creates lasting relationships and uses resources effectively.⁴⁰

NETWORKING

Networking, the cultivation of productive relationships among individuals and organizations, can be a powerful tool for forming collaborations to maximize resources, communication, and learning. Connecting with people who share common goals can provide an opportunity to understand their best practices and lead to jointly creating new ways of looking at and meeting shared goals. Gathering and sharing knowledge by networking within and outside your tribal community can provide valuable insight and prevent the need to "reinvent the wheel."

³⁸ *Final Rule: Activities to improve the quality of child care: 98.51.*

³⁹ *A list of sample quality activities is provided in Appendix C.*

⁴⁰ *Community Partnership Toolkit, W.K. Kellogg Foundation, available online at <http://www.wkkf.org/knowledge-center/resources/2001/12/Community-Partnerships-Toolkit.aspx>*

PARTNERSHIPS

Partnerships are important to the success of tribal child care programs and can facilitate ways to best meet the program goals for children and families. Key program partners for tribal CCDF programs include Head Start, TANF, employment services, child welfare, public health, and other tribal and community educational programs.⁴¹ Successful partnerships often display the following partnership principles:⁴²

- Have clearly defined goals at the outset to ensure understanding among partners that will help guide the partnership through obstacles and challenges;
- Involve families and account for their needs and preferences when developing programs and services;
- Include all stakeholders from the beginning and draw from a broad range of perspectives, resources, and expertise;
- Involve powerful champions that make their initiatives visible to the public;
- Aim to achieve positive results and regularly measure their progress;
- Establish clear governance structures that define partner roles and responsibilities;
- Set and adhere to ground rules that guide the partnership in its work;
- Are flexible and adapt to changing conditions and resources;
- Draw on the strengths of all partners and enable all partners to benefit; and
- Work to maintain momentum and sustain their work over time.

EFFECTIVE PROGRAM STRATEGY: CHILD CARE/HEAD START Prairie Band Potawatomi

The Prairie Band Potawatomi early education center Ben-no-tteh Wigwam (House of the Child) provides full-day, year-round early care and education services including child care, Head Start, Early Head Start, and Early Intervention services. The early childhood program attributes the success of its partnerships to receiving support from the tribal community; taking time to value all the players—parents, teachers, and staff; and involving all the partners in program decision-making. Early childhood program staff focus on the end result, bringing together multiple programs to provide quality services to the community’s children, and spur each other on by saying, “Life is short; just do it!”

As mentioned on page 3, Tribes are required to consult with a number of local and State entities when developing their CCDF Plans. In addition, they are also required to demonstrate how they are coordinating services with other child care and education programs and with the State and tribal agencies responsible for health services, education, employment services, and TANF.

⁴¹ A list of potential collaborative partners can be found in Appendix D

⁴² Adapted from A Guide to Successful Public-Private Partnerships for Child Care, created by the Child Care Partnership Project and available online through the Education Resources Information Center (ERIC), <http://www.eric.ed.gov/>.



TRIBAL-STATE COLLABORATIONS⁴³

In their biennial CCDF Plans, Tribes and States describe a number of ways they are coming together to provide services and supports. Areas of tribal/State child care coordination and collaboration include:

- Joint planning and policy-making;
- Delivery of child care subsidy;
- Coordination on market rate surveys and rate setting policies;
- Dual eligibility;
- Development and revision of Early Learning Guidelines (ELGs);
- Development and implementation of Quality Rating and Improvement Systems (QRISs);
- Providing child care resource and referral (CCR&R) services;
- Child care licensing and monitoring;
- Training and professional development; and
- Grant and funding opportunities.

LEARNING AND SHARING OPPORTUNITIES FOR TRIBAL CCDF ADMINISTRATORS

Throughout the year, tribal CCDF administrators have various ways to connect, share, and learn from each other. The Office of Child Care, in collaboration with the National Center on Tribal Child Care Implementation and Innovation (National Tribal Center or NTC), conducts a biennial Tribal CCDF Plan Preprint Training series and a biennial National American Indian and Alaska Native Child Care Conference.⁴⁴ Training sessions designed specifically for tribal CCDF administrators are held throughout the national conference. These workshops provide an opportunity to learn from expert trainers as well as from experienced tribal CCDF colleagues. On-site and distance technical assistance, also available through NTC, can be provided to new tribal CCDF administrators to give them one-on-one support as they transition into their new role.

Several tribal CCDF programs also host annual child care conferences that are often open to tribal CCDF administrators, staff, and child care providers from neighboring Tribes and/or States. In addition, the National Indian Child Care Association (NICCA), a nonprofit membership association, hosts a biennial tribal child care conference that offers opportunities to network with other tribal CCDF administrators and often includes workshops on basic CCDF administration.⁴⁵ Other national entities, such as the National Indian Education Association (NIEA), National Association for the Education of Young Children (NAEYC), and the World Forum Foundation, hold state, regional, national, and international conferences that may include topics of interest to tribal CCDF administrators.⁴⁶

⁴³ For more information on tribal-State coordination, see Tribes and States Working Together: A Guide to Tribal-State Child Care Coordination, available online at <http://www.acf.hhs.gov/programs/occ/ta/pubs/tswt/tswt1.htm>.

⁴⁴ Information about this and other national conferences of interest to tribal CCDF administrators can be found on the NTC website at <http://ntc.cctan.org>.

⁴⁵ Additional information about NICCA and its conference can be found online at <http://www.nicca.us/>.

⁴⁶ Additional information about NIEA can be found online at <http://www.niea.org/>; information about NAEYC and its Tribal & Indigenous Early Childhood Network (TIECN) Member Interest Forum can be found online at <http://www.naeyc.org/>; and information about the World Forum Foundation and its Indigenous Peoples Action Group (IPAG) can be found online at <http://worldforumfoundation.org/>.



KEEPING CONNECTED

As you delve into the day-to-day work of operating a tribal child care program, your fellow tribal CCDF administrators can be a source of effective program management ideas and creative problem-solving approaches. Many experienced administrators are willing to provide peer support to new administrators through telephone consultations and informal visits. In addition, the Office of Child Care, through NTC and its other technical assistance providers, regularly develops publications to showcase innovative tribal CCDF program initiatives so that these successes can be replicated by other interested Tribes. These publications, as well as all of OCC's CCDF-related documents and the contact information for all tribal CCDF grantees, are available through the NTC webpage at <http://ntc.cctan.org>.

Your role as the tribal CCDF administrator and the services that you oversee make an important contribution to the lives of the children and families you serve and to your larger tribal community. To support you in your work, the OCC Central and Regional Offices, NTC, and NCDT are available to provide you with free consultation, information services, resource materials, and technical assistance. Contact information for these offices can be found in Appendix B: Federal CCDF Contacts and Resources.



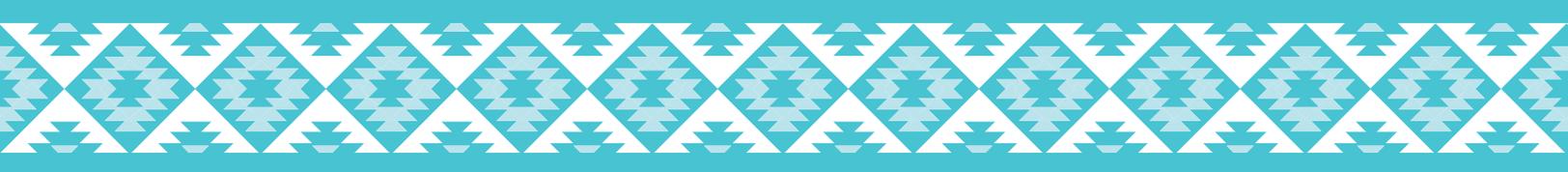
APPENDIX A

GETTING STARTED AS A NEW ADMINISTRATOR

Now that you've reviewed the basics of running a tribal CCDF program, here are some actions you can take to help you reach your goals for meeting the child care needs of the children and families in your tribal community. Tips for next steps and resources are included in italics.

- 1. Review the most current CCDF Plan your Tribe has submitted.** *If a copy is not readily available, you may wish to contact your OCC Regional Office to obtain a copy. Connect with your OCC Regional Office and provide them with your contact information so you can be sure to receive Federal updates, guidance, and information. See Federal CCDF Contacts and Resources in Appendix B.*
- 2. Connect with the Tribe's Fiscal Office and review the program budget** to ensure that it can support the activities described in the current CCDF Plan. Be familiar with timelines for funding and reporting. *See Tribal CCDF Dates to Remember in Appendix E.*
- 3. Review program management policies and procedures and update as needed.**
- 4. Review the timelines for public hearings, market rate surveys, and other requirements.** *See Tribal CCDF Dates to Remember in Appendix E.*
- 5. Get to know the needs of the families who are using child care services and those who may need services.**
 - a. Is there a current community needs assessment? *If your Tribe operates a Head Start program, review their community assessment. If you decide that a new community assessment needs to be conducted, review the suggestions in Chapter 2 of Tribal Child Care Facilities: A Guide to Construction and Renovation, available from NTC.*
 - b. Are child care services accessible and affordable, and do they provide a level of quality to ensure the developmental needs of the children are met?
 - c. Do the available programs and services meet the needs of working families?
 - d. Are families active partners in CCDF program planning and implementation?
 - e. Do families have the information they need to make the best decisions for their children's care?
- 6. Get to know the child care providers and other early childhood programs in the community.**
 - a. Are the services meeting the needs of infants, toddlers, pre-kindergarten, and school-age children so that they can develop to their fullest potential?
 - b. Do the programs and services incorporate native culture and language to preserve cultural heritage and traditions, and promote linguistic continuity?
 - c. Do services meet the needs of working families (schedules, locations, etc.)?
 - d. What is needed to recruit and retain a high quality child care workforce?
 - e. Is there a professional development plan that enables child care staff and providers to increase their knowledge and competencies?
 - f. Is the subsidy rate paid through contracts or certificates adequate to ensure that providers are able and willing to participate in your subsidy program so that affordable care is available to families who need it?

- 
7. **Keep current on new information and resources to support tribal child care.** *Visit the webpages for the Office of Child Care (<http://www.acf.hhs.gov/programs/occl>) and NTC (<http://ntc.cctan.org>) to find resources such as policy guidance, frequently asked questions (FAQs), and a list of tribal CCDF Grantees.*
 8. **Build partnerships with other tribal, State, and community programs that serve children and families.** Take advantage of opportunities to network and share ideas, successes, and challenges with other tribal CCDF administrators. *Participate in local, State, regional, and national child care conferences and training activities.*
 9. **Take time to renew your spirit and energy.** Your health, strength, and wellness are vital to you, your family, and the children and families you work to support. By being physically and emotionally healthy, you will not only strengthen your ability to work on behalf of children and families, you will also model the wellness you wish to see in your staff, your clients, and your community.



APPENDIX B FEDERAL CCDF CONTACTS AND RESOURCES

NATIONAL RESOURCES

Office of Child Care

Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade, S.W., 5th Floor East
Washington, DC 20447
Phone: (202) 690-6782
Fax: (202) 690-5600
<http://www.acf.hhs.gov/programs/occ>

National Center for Tribal Child Care Implementation and Innovation

(National Tribal Center or NTC)
Community Development Institute
10065 E. Harvard Ave., Suite 700
Denver, CO 80231
Phone (toll-free): 1-800-388-7670
Fax: (720) 747-5148
E-mail: ntc@cditeam.org
<http://ntc.cctan.org>

National Center on Child Care Data and Technology (NCDT)

2600 Tower Oaks Blvd., Suite 600
Rockville, MD 20852
Phone (toll-free): 1-877-249-9117
Fax: (301) 692-0700
E-mail: ncdt@childcaredata.org
<http://dt.cctan.org>

OFFICE OF CHILD CARE REGIONAL PROGRAM OFFICES

Region I

*(Connecticut, Maine, Massachusetts
New Hampshire, Rhode Island, Vermont)*

HHS/ACF

JFK Federal Building, Suite 2025

15 New Sudbury Street

Boston, MA 02203

Phone: (617) 565-1152

Fax: (617) 565-1578

Region II

*(New Jersey, New York,
Puerto Rico, Virgin Islands)*

HHS/ACF

26 Federal Plaza, Room 4114

New York, NY 10278

Phone: (212) 264-2890 X182

Fax: (212) 264-4881

Region III

*(Delaware, District of Columbia,
Maryland, Pennsylvania, Virginia,
West Virginia)*

HHS/ACF

150 S. Independence Mall West

Public Ledger Bldg., Suite 864

Philadelphia, PA 19106-3499

Phone: (215) 861-4058

Fax: (215) 861-4070

Region IV

*(Alabama, Florida, Georgia, Kentucky, Mississippi,
North Carolina, South Carolina, Tennessee)*

HHS/ACF

Atlanta Federal Center

61 Forsyth Street, S.W.

Atlanta, GA 30303-8909

Phone: (404) 562-2782

Fax: (404) 562-2985

Region V

*(Illinois, Indiana, Michigan, Minnesota,
Ohio, Wisconsin)*

HHS/ACF

233 N. Michigan Ave., Suite 400

Chicago, IL 60601

Phone: (312) 353-3270

Fax: (312) 353-2629

Region VI

*(Arkansas, Louisiana, New Mexico,
Oklahoma, Texas)*

HHS/ACF

1301 Young Street, Suite 914

Dallas, TX 75202

Phone: (214) 767-3849

Fax: (214) 767-8890

Region VII

(Iowa, Kansas, Missouri, Nebraska)

HHS/ACF

Federal Office Building, Room 276

601 East 12th Street

Kansas City, MO 64106

Phone: (816) 426-2264

Fax: (816) 426-2888

Region VIII

*(Colorado, Montana, North Dakota,
South Dakota, Utah, Wyoming)*

HHS/ACF

999 18th Street

South Terrace, Suite 499

Denver, Colorado 80202

Phone: (303) 844-1164

Fax: (303) 844-3642

Region IX

*(Arizona, California, Guam, Hawaii,
Nevada, American Samoa, Commonwealth
of the Northern Mariana Islands)*

HHS/ACF

90 7th Street, 9th Floor

San Francisco, CA 94103

Phone: (415) 437-8439

Fax: (415) 437-8436

Region X

(Alaska, Idaho, Oregon, Washington)

HHS/ACF

Blanchard Plaza

2201 Sixth Avenue, Room 610

M/S RX-70

Seattle, WA 98121

Phone: (206) 615-2609

Fax: (206) 615-2574

APPENDIX C

SAMPLE QUALITY ACTIVITIES

The following list represents examples of quality activities shared by Tribal Child Care and Development Fund (CCDF) Administrators. Please note that this list is not exhaustive and is for illustrative purposes only; it is not intended as guidance about the allowability of any specific activity. At a minimum, the activities described below would need to occur within the context of tribal early childhood care and education programs/services in order to be allowable under CCDF. Questions of allowability should be addressed to the Office of Child Care. All quality activities should be intentionally planned and evaluated to ensure that they meet the program's goals.

Training and Professional Development Opportunities for Providers

Training Topics

- Orientation to CCDF program
- Child development
- Behavioral issues
- Cultural training
- Infant and toddler child care
- First Aid
- Computer skills
- Child care as a business

Strategies for Making Training Accessible

- Offer grants or stipends for attending training events
- Provide transportation
- Provide training on-site at centers and homes
- Reimburse tuition and associated school attendance costs for AA degree
- Pay for time off for training attendance
- Bring Child Development Associate (CDA) trainings on-site
- Make substitute providers available

Licensing, Monitoring, and Assisting Providers in Meeting Standards

- Develop provider standards
- Conduct background checks
- Conduct monitoring visits
- Provide health and safety materials/equipment, as determined by inspection
- Offer direct grants/mini-grants for health and safety equipment/materials
- Provide needed classroom materials and resources
- Provide funds toward cost of provider licensing
- Offer immunizations

Resource & Referral/Consumer Education

- Contract with State to provide resource and referral services
- Establish a resource library for parents and providers
- Develop newsletters for providers and parents
- Create parent handbooks
- Start a toy lending library
- Develop internet-based consumer education on quality child care

Compensation of Staff

- Supplement wages of staff
- Use sign-on bonuses to recruit providers for infant/toddler care or other areas of provider shortages
- Increase staff compensation in blended Head Start/Child Care program to equalize salaries
- Give bonuses to providers for quality programs
- Implement cash and non-cash career-ladder incentives



School-Age Activities

- Initiate cultural activities with elders (e.g., regalia making)
- Support culturally-based summer youth programs
- Collaborate with Boys and Girls Clubs
- Develop a mentor program
- Connect with drug prevention programs
- Link with teen pregnancy prevention programs

Health Related Activities

- Connect providers with health consultants and specialists (e.g., nutritionists, speech therapists)
- Conduct health screenings
- Conduct immunization events
- Incorporate diabetes prevention activities into curricula
- Provide car seats and professional installation

Promoting Family Literacy

- Plan a family literacy day
- Provide early reading materials/books for children
- Require daily reading to children
- Create a book lending library for providers
- Schedule a “Father’s Night Out” with storytelling, books, puppets
- Open a computer lab
- Provide support for appropriate classroom activities

Cultural Activities

- Incorporate tribal language instruction into programs
- Invite storytellers to perform
- Identify and promote training opportunities for parents and providers
- Provide cultural training to non-Native providers

Other Quality Activities

- Fund field trips
- Provide funds/equipment for library/internet access
- Establish intergenerational centers

APPENDIX D

POTENTIAL COLLABORATIVE PARTNERS FOR TRIBAL CHILD CARE AND DEVELOPMENT FUND (CCDF) PROGRAMS

The following list represents examples of collaborative partners shared by Tribal CCDF Administrators. This list is not exhaustive and is for illustrative purposes only.

Early Childhood

- State CCDF program
- Other tribal CCDF programs
- Head Start programs
- Early Head Start programs
- Afterschool programs
- Private preschool programs
- Family child care home networks
- Brazelton Touchpoints Center®
- National organizations that support children and families

Education

- Tribal colleges and universities (TCUs)
- Other colleges and universities
- Tribal and local schools and school districts
- Technical schools
- State Department of Education
- State Special Education Services
- Johnson O'Malley (JOM)
- FACE/BabyFACE

Employment and Training

- Tribal Temporary Assistance for Needy Families (TANF) program
- Tribal Native Employment Works (NEW) program
- State TANF program
- Vocational Rehabilitation programs
- U.S. Department of Labor Summer Youth Employment programs
- Workforce Investment Act (WIA) programs
- State apprenticeship programs
- Industrial parks

Health

- Indian Health Service
- Office of Environmental Health
- U.S. Department of Agriculture (USDA), Child and Adult Care Food Program (CACFP)
- Early intervention programs
- American Red Cross
- Maternal and Child Health
- Even Start
- USDA Women, Infants and Children (WIC) program
- Alcohol and drug abuse programs

Other Collaborative Partners

- Resource and referral agencies
- Libraries (tribally operated and local)
- Elder programs
- Law enforcement agencies
- Indian Child Welfare
- Private foundations
- YMCA/YWCA
- Foster Grandparent program
- AmeriCorps and other national and community service programs
- Housing programs
- Parks and recreation
- Consortia of churches and other religious organizations
- Boys and Girls Clubs
- T.E.A.C.H. Early Childhood® programs
- Tribally funded summer programs
- Teen pregnancy prevention programs
- Native American cultural camps
- Mentor programs
- Tribal courts
- Tribal women's groups
- Local theaters
- Bureau of Indian Affairs Social Services programs

APPENDIX E

TRIBAL CCDF DATES TO REMEMBER

CCDF ADMINISTRATIVE TASKS	PLAN YEAR (Odd Numbered Calendar Year)	NON-PLAN YEAR (Even Numbered Calendar Year)
Public Hearing on CCDF Plan <i>[pg. 3]</i>	January 1-July 1 <i>(at least one hearing must be held in this timeframe)</i>	Not Due
Discretionary Reallotment Letter <i>[pg. 4]</i>	April 1 <i>(for funds from the previous fiscal year)</i>	April 1 <i>(for funds from the previous fiscal year)</i>
Biennial Tribal CCDF Plan* <i>(including Tribal Child Count)</i> <i>[pg. 3]</i>	July 1	Not Due
Application/Tribal Child Count <i>[pg. 3]</i>	July 1 <i>(submitted with CCDF Plan)</i>	July 1
Construction Application <i>[pg. 5]</i>	July 1 <i>(for current FY funds only)</i>	July 1 <i>(for current FY funds only)</i>
Obligation/Liquidation Deadline <i>[pg. 4]</i>	September 30	September 30
New Fiscal Year Funds Available <i>[pg. 4]</i>	October 1	October 1
ACF-696T Fiscal Reports* <i>[pg. 4]</i>	December 29 <i>(reports for 3 previous fiscal years due 90 days after the end of the Federal fiscal year; final reports may be submitted earlier upon liquidation of funds)</i>	December 29 <i>(reports for 3 previous fiscal years due 90 days after the end of the Federal fiscal year; final reports may be submitted earlier upon liquidation of funds)</i>
ACF-700 Report* <i>[pg. 12]</i>	December 31 <i>(covers program activities during the previous period of October 1–September 30)</i>	December 31 <i>(covers program activities during the previous period of October 1–September 30)</i>
Market Rate Survey <i>[pg. 13]</i>	<i>Within 2 years of the effective date of the Plan</i>	<i>Within 2 years of the effective date of the Plan</i>

*Denotes items that do not apply to tribal programs electing to operate CCDF under a consolidated P.L. 102-477 plan as described on page 6.



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GUIDE FOR NEW ADMINISTRATORS**

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