Hello and welcome to Session 5 of our Construction and Major Renovation Community of Practice. This is the last session prior to your application submittal. Remember to stop us at anytime during the presentation to ask questions, we are here to help.
The Tribal Child Care Capacity Building Center (TCBC) team is here to support you throughout the process!
Today we would like you to say hello by taking yourself off mute or in the chat by sharing:

- Your name
- Your Tribal Child Care and Development Fund (CCDF) Program

It is great to see so many of you returning for Session 5
Before we begin, I’d like to pose a quick check-in question: What information have you explored during our last few sessions that will assist you in completing your construction or major renovation application?

Let’s move on today to talk about submitting a complete application and the information needed to do so.
In our fifth session of the community of practice, Development of an Approvable Construction or Major Renovation Application, we will be providing opportunities to explore the timelines, required information as it relates to the Program Instruction and Attachment D, and steps needed prior to the application submission deadline.
Our learning objectives for today are:

- Review the components of a complete construction or major renovation application
- Identify next steps in the development of their application
- Participate in discussions as to strategies to complete their full application
In the last few sessions, we talked a lot about planning. Conducting your community assessment and developing collaborations with partners within your Tribal community, facility design to meet your communities needs, hiring an architect or project manager, identifying a site based on needs and environmental assessments, and budgeting for your construction or major renovation project.

Many of the topics needed to complete your application.
Let’s take a quick moment to see if anyone has made some initial decisions.

What type of project are you planning on applying for?
- Construction
- Major renovation
- Modular unit
Written Letter

- The Tribal Lead Agency may submit a written letter along with the application, signed by the Tribal leader that includes the following:
  - The names and contact information for the Tribe and Tribal Lead Agency
  - The amount of Tribal CCDF funds from grant year (GY) 2022 the Tribe is requesting to set-aside for construction and identify if the funds are mandatory and/or discretionary funds

This letter will provide contact information and the amount you wish to set-aside to your Regional Office at a quick glance and provide a partial application prior to the deadline if you happen to be missing any of the required information in your completed application. We will talk more about a partial application later in this session.
As a part of the Program Instruction, Attachment D is a great resource to review or use to draft your application. This checklist is pictured on the screen and can be accessed by the link in the slides or in the chat box for your convenience.

There is no required format to submitting your application for construction or major renovation set-aside, only that you include all the required components listed in the checklist. The checklist merely serves as a guide to developing an application. It is not intended to serve as a form or as a replacement for a thorough narrative.

https://www.acf.hhs.gov/media/13440

On the next few slides, we will talk about each component and provide an opportunity for you to ask questions.
Construction and Major Renovation Application Requirements by Components

There are 18 components within the Application Checklist and each component will need to be completed fully before an application can be approved and set-aside funds can be spent.
Let’s talk about components 1-4

In component 1, you will provide the same information you provided in your written letter, the Tribe’s and Tribal Lead Agency’s contact person and information on how they can be reached.

For components 2-4 you will use information gathered through your community assessment.

• In component 2, you will describe the existing child care facilities within 50-miles of the proposed facility or project that are currently used by the Tribal Lead Agency to carry out CCDF activities.

• Component 3 is where you will provide an explanation of need - why the current facilities are not adequate to carry out CCDF activities and why this will inhibit the Tribal Lead Agency’s CCDF program in the future. The explanation must include estimates of the number of children who:
• currently receive CCDF services;

• are currently eligible to receive and are in need of CCDF services but are not being served due to inadequate facilities;

• are projected to receive CCDF services over the next five years (in the absence of this proposed construction/renovation); and

• are projected to be eligible to receive and in need of CCDF services but will not be served (without this proposed construction/renovation) due to inadequate facilities, over the next five years.

• In component 4 the Tribal Lead Agency must also provide a statement that adequate facilities are not otherwise available (for example, lease, donation, purchase by non-CCDF funds or other means).

Let’s move on to discuss component 5.
Let’s talk about component 5 – There are three separate questions to answer within this component that focus on the level of services before, during, and after the proposed construction or major renovation project.

The first is a written assurance that the use of CCDF funds for construction/renovation will not result in a decrease in the level of child care services compared to the level of services provided in the last fiscal year.

The second is to describe how the current fiscal year’s level of services compares to the previous year’s level of services.

Note: The Tribal Lead Agency may define “level of services” in terms of the number of children served and/or the amount of funds spent on child care. Regardless of which definition the Tribal Lead Agency chooses, it must provide information on both the number of children served and the amount of funds spent on child care.

And finally, if you are not going to be able to maintain the current level of service and want to seek a waiver, you will need to provide a narrative as to
how long will the decrease last? How will this construction or major renovation project improve child care services once complete and the level of service rebounds?
Let’s stop briefly to see if anyone has any questions so far.
For components 6-9 you will need to use the information you gathered as you worked with on your site identification and facility design including interior and exterior spaces. This could have been done in collaboration with your Tribe’s planning department, your architect or project manager.

For component 6, facility statement, you will need
a) A description and map of the site for the proposed facility, and an explanation of the appropriateness of the location in related to the Tribal Lead Agency’s service area
b) A description of the impact of the location that includes;
   • The transportation of children to the program;
   • Collaboration with other child care, Head Start/Early Head Start, social services, and health providers; and
   • All other program activities and services.

In component 7, project plans and descriptions, you will have to provide plans and specifications for the proposed construction or renovation project. This includes architectural designs.
Note: Draft architectural plans and specifications, as opposed to final plans,
are acceptable if they include:

1. a plot plan showing the orientation and location of the building in relation to key features (e.g., parking areas, playground, access points);

2. floor plans showing the overall dimensions of the building and the location, size, and purpose of its components (e.g., rooms, hallways);

3. drawings showing the size and appearance of all sides of the building’s exterior; and

4. outlined specifications listing a general description of materials and mechanical systems.

In addition to your project plans and map, Tribal Lead Agencies will also have to include a description of certain aspects of the proposed facility that are relevant to the purpose, operation, and requirements for CCDF services. This includes:

c) Describing the aspects of the building and physical premises that will ensure children’s health and safety (e.g. appropriate diaper changing and hand washing areas; sufficient heating, cooling, and ventilation; secure storage space for any hazardous materials; smoke detectors or other fire warning devices; adequate exits in case of emergency; etc.)

d) Explaining the elements of the facility that will help create a developmentally-appropriate learning space (e.g. child-sized plumbing fixtures, low windows for children to look out, sufficient play space, etc.).

e) Describing the culturally significant elements, if any, in the facility’s design or renovation. (e.g. use of certain building materials, landscaping, play space).

Component 8 requires a proposed time schedule for each major activity of the construction or renovation and occupancy of the facility. The Office of Child Care (OCC) understands that this timeline is just a proposal, but keep in mind the liquidation dates of the funds you have chosen to set-aside, and you develop this timeline. Notify your Regional Program Specialists as soon as possible if any issues arise along the way that might affect your timelines.

The last component on this slide, component 9, intended uses of the facility to be constructed or renovated, and information about the percentage of floor space that will be used to provide direct services to children. If the facility is to be used for other purposes, in addition to the operation of the child care program, the Tribal Lead Agency must state what portion of the facility is to be used for such other purposes.
NOTE: The facility must be used principally to provide direct services to children. Furthermore, if the facility is to be used for purposes in addition to the operation of the CCDF program, costs must be allocated in accordance with applicable cost principles.
In our last session we discussed information that may assist you in the completion of components 10-12.

Component 10 focuses on non-CCDF sources of funding and loans for the proposed project. This is where you would provide;

a) Documentation on all other sources and uses of non-CCDF funds for the construction or renovation, including any restrictions or conditions imposed by other funding sources. The documentation must include a cost allocation plan for any facility that is shared with other programs, and;

b) The terms of any proposed or existing loan(s) related to the construction or renovation of the facility and the repayment plans (detailing balloon payments or other unconventional terms, if any).

In component 11, you will provide information regarding the proposed cost of the construction or major renovation project. The budget must provide a break down by cost category, it also includes one-time and ongoing costs. When planning for construction or renovation, the Tribal Lead Agency should
carefully consider whether it would have sufficient funds to cover ongoing costs necessary to operate the facility after the construction or renovation is completed; and the impact on the Tribal Lead Agency’s ability to meet its child care service obligations.

Component 12 requires a statement of the amount of construction or major renovation costs that will be paid with CCDF funds listed separately by the federal fiscal year in which the CCDF funds become (or became) available. Indicate whether the funds should be transferred from Tribal Mandatory or Discretionary funds. This information is included within the written letter we discussed earlier and a reference to such letter could be added to meet the requirements of this component.
Let’s stop briefly to see if anyone has any questions so far.
Components 13-15

13. Statement of whether there is a Head Start or Early Head Start program
14. Land ownership statement (who owns the land)
15. Facility ownership—indicate who owns the facility that will be renovated (major renovation only)

Component 13 focuses on collaboration with your local Tribal Head Start (HS) or Early Head Start (EHS) programs. It requires a statement of whether or not there is a HS or EHS program in the Tribal Lead Agency’s service area. If there is a HS or EHS program in the service area, the Tribal Lead Agency must describe collaboration efforts, including:

- Partnership grants (i.e. an Early Head Start/Child Care Partnership Grant)
- Use of the facility (i.e. if the HS or EHS program will rent space once the project it completed)
- Cost allocation of funds that HS/EHS will pay for construction and major renovation costs if a partnership is developed for the project.

In component 14 the Tribal Lead Agency must provide a statement of who owns the land on which the facility is/will be located. If the Tribal Lead Agency proposes to construct or renovate a facility located on land that it does not own, the application must describe and provide a copy of the easement, right of way or land lease it will obtain or has obtained to allow it undisturbed use and possession of the facility for the purpose of operating a CCDF program.
NOTE: The land lease or other similar interest in the underlying land must be long enough for the Tribal CCDF program to receive the full value of the grant-funded improvements. The term of the lease or other arrangement should in most cases be for a period of years that is at least equal to the estimated useful life of the facility. The lease must contain certain information related to the Federal interest (see Section VIII of the program instruction for more information on federal interest).

Component 15 is for Major Renovation only and requires a statement indicating whether the Tribal Lead Agency owns the facility to be renovated. If the Tribal Lead Agency does not own the facility, the application must include information about the owner, a copy of written permission from the owner allowing the proposed renovation, and a copy of the lease for the facility.

NOTE: If the Tribal Lead Agency does not own the facility to be renovated, the Tribal Lead Agency must demonstrate that it has secured a lease that will assure the Tribal Lead Agency has access to the facility for a reasonable period of time, taking into consideration the amount of CCDF funds used to renovate the facility. In most cases, a minimum of five years (from the date the renovation is completed) is required, unless justified. The lease must contain certain information related to the Federal interest (see Section VIII of the program instruction for more information).
The Tribal Lead Agency is required to provide and maintain oversight and inspection during the proposed construction or renovation project. Component 16 requires a written assurance regarding the competent and adequate oversight and inspection during all phases of the project at the work site to ensure that the completed work conforms to the approved plans and specifications.

In addition, the Tribal Lead Agency must provide a description of specific steps the Tribal Lead Agency will undertake to ensure adequate oversight and inspection, including the qualifications of personnel who will be performing oversight and inspection tasks.

Within this component, the Tribal Lead Agency could name a project manager, a Tribal representative from their planning department, or other person designated by the Tribe if the CCDF Administrator does not have the capacity to manage the construction or major renovation project.

Component 17 focuses on compliance with additional applicable regulations. Tribal Lead Agencies must provide written assurance from Tribal leadership or
someone who has signing authority of the Tribe as to compliance with these requirements, as applicable.

Finally, component 18, Tribal Lead Agencies must provide an assessment of the impact of the proposed construction or renovation on the human environment, addressing in particular any significant change in land use (for example, substantial increases in traffic in the surrounding area due to the provision of transportation services), pursuant to the National Environmental Policy Act of 1969 (NEPA).

Additionally, the Lead Agency must provide a report showing the results of tests for environmental hazards present in the facility, ground water, and soil (or justification why such testing is not necessary). The report (or justification) is required regardless of whether or not the Tribal Lead Agency is required to submit a complete environmental assessment in accordance with NEPA.

Component 19 is for modular unit requests only: A statement describing procedures for purchasing the modular unit. This must include a copy of the unit's specifications and an assurance that the Tribal Lead Agency will comply with procurement procedures in 45 CFR Part 92.36, including an assurance that transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition.
Let’s stop briefly to see if anyone has any questions so far.
Now that we’ve reviewed all 19 of the application components, what would be or are your 3 top concerns?

- Completing a Community Needs Assessment
- Completing an environmental assessment
- Determining cost estimates
- Identifying which CCDF Funds will be requested to set-aside
- Developing a timeline
- Completing plans and specifications for my project
- Completing the construction and major renovation application by July 1.
- Other: Indicate that in the chat box

Thank you for participating in our poll question.

If you are feeling overwhelmed and you don’t think you will be able to complete your full application by July 1, there is an option to submit a partial application. Let’s move on to the next slide to discuss it a bit further.
If a Tribal Lead Agency is unable to submit all the information required for an application prior to the July 1 deadline, a partial application will be accepted. The Tribal Lead Agency should submit as much information as possible prior to the July 1 deadline to allow your Regional Office an opportunity to begin reviewing.

At an absolute minimum, the Tribe must provide the written letter signed by the Tribal leader that includes the following:

- The names and contact information for the Tribe and Tribal Lead Agency
- The amount of Tribal CCDF funds from GY 2022 the Tribe is requesting to set-aside for construction and identify if the funds are mandatory and/or discretionary funds

Tribal Lead Agencies should move quickly in completing their applications if you submit a partial application. Your application cannot be fully approved until all pieces are received, spending of construction funds cannot begin until the application is approved. Let’s review liquidation timeframes on the next slide.
Let’s think about the timeframe for Construction and Renovation

**Tribal CCDF Grantees may spend either Tribal Mandatory Funds or Discretionary Funds (or both) for construction or major renovation.** Any CCDF funds must come from a Tribal Lead Agency’s CCDF allocation; a *Tribal Lead Agency will not receive any additional CCDF funds for construction or renovation.*

**Liquidation Time Frame.** The liquidation timeframe for construction and renovation begins with the date the funds are originally awarded, and not the date that funds are transferred to the separate award for construction and renovation. *For example, funds awarded and then transferred to construction and renovation in GY 2022 must be liquidated by September 30, 2024. (Funds cannot be moved to construction/renovation after the end of the GY (the federal fiscal year in which they were awarded.) This gives Tribal Lead Agencies up to three years to liquidate funds approved for use on construction or major renovation with no separate obligation requirement. Therefore, really think about how long your project will ultimately take.*
Are you thinking of multiple projects…

◆ Approval is required for each project (even if the projects use identical plans and specifications.)
◆ A single application can be submitted for more than one project, as long as all required information is provided for each project.


If a Tribal CCDF grantee is interested in pursuing multiple construction or renovation projects, they must seek the Administration for Children and Families (ACF) approval for each project (even if the projects use identical plans and specifications). A grantee 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.

*Reminder* that each project will still need to be explained with plans, specifications, key features, etc…
Grantees with approved plans under P.L. 102-477 complete the same application/request in order to use CCDF funds for construction and renovation. There are two key differences related to the application process for P.L. 102-477 grantees:

1. **ACF will notify the U.S. Department of Interior upon approving a 102-477 grantee’s construction or renovation application.** *The Tribes will also receive an approval letter from the Department of Interior prior to beginning a construction project.*

2. **Grantees with approved plans under P.L. 102-477 cannot use CCDF funds for construction or renovation until the Department of Interior notifies the grantee that the scope of work has been modified to include the approved construction or renovation project.*
Let’s think about some next steps to take as the July 1 deadline is approaching.

- Notify your Regional Program Specialists, that you are considering a construction or major renovation project
- Complete your pre-application activities: community needs assessment, planning cost, environment assessment
- Draft your written letter and prepare for Tribal leadership approval and signature that includes a request to transfer CCDF funds to construction or major renovation **DUE July 1, 2022** (for Grant Year 2022)
- Begin completing the full construction or major renovation application
- Submit your written letter with Tribal leadership’s signature as your partial application by July 1, 2022
A Tribal Lead Agency may submit an application at any time. 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 by July 1st of that grant year.

Send completed application to:
OCC Regional Office Program Manager and address the Director of the Office of Child Care, Dr. Ruth Friedman in your written letter.
Tribes that have consolidated their CCDF program into an approved Pub. L. 102-477 Plan must also submit to:

Chief, Division of Workforce Development, Office of Indian Services, U.S. Department of the Interior

Staff in the OCC Regional Office have responsibility for reviewing applications for completeness and adherence to requirements.

ACF will prepare a grant award letter to be sent to the Tribal Lead Agency that identifies the CCDF funds transferred into this new account to be used for
construction and major renovation. This set-aside will have a new grant award number and can only be used for construction or major renovation activities.

Tribes that have consolidated their CCDF program into an approved Pub. L. 102-477 Plan, construction or renovation funds will not be transferred to a separate grant award; ACF will notify the U.S. Department of Interior upon approving a 102-477 Tribe's construction or renovation application. The Tribe cannot use CCDF funds for construction or renovation until the Department of Interior notifies the Tribe that the scope of work has been modified to include the approved construction or renovation project.
Poll Question

- Which portions of the construction and major renovation application will your Tribal Lead Agency need assistance with?
  - Needs Assessment
  - Budget
  - Designing the facility
  - Purchasing a modular building
  - Environmental impact study
  - Coordination with other agencies

We want to remind you that we are still available to provide individual technical assistance to you as the July 1 deadline draws near. Just reach out to your Regional Program Specialist and request a meeting.

We want to end today’s session with another Poll questions just to get a feel for where you all are;

Which portions of the construction and major renovation application will your Tribal Lead Agency need assistance with?
  - Needs Assessment
  - Budget
  - Designing the facility
  - Purchasing a modular building
  - Environmental impact study
  - Coordination with other agencies

We can also provide assistance if you submit a partial application and work on your full application, just reach out.
Let’s look at the Action Planning tool one more time. You could take a moment and print it out and we will use the next few minutes as time to write down some action planning steps around completing your written letter and complete applications.

For example, your goal could be to have your written letter drafted that includes your contact information and the amount of CCDF funds you wish to set-aside from either discretionary or mandatory, or both prepared for Tribal leadership approval and signature to ensure you at least have the partial application process completed prior to the July 1 deadline.

An action step in meeting that goal could include, meeting with your finance department to determine which CCDF funds you want to set aside, discretionary or mandatory and the amount of within each of the categories to include in your written letter.
Let's stop briefly to see if anyone has any questions so far.
Before we end today, let’s take another poll to see how prepared you feel you are for submitting your application.
Up Next

**Session 6: Reporting Requirements of Construction or Major Renovation Funds**

This session will provide an opportunity for Tribal Lead Agencies to share the status of their construction and major renovation applications. Information on the required reporting during, and after the completion of their construction or major renovation project will be reviewed. Additional intensive TA opportunities will be offered as needed by the participants to complete their full applications or fiscal reporting.

We will meet after your application has been submitted to provide you with reporting information.
We also want to share some resources to explore as you prepare for our next session.
Resources to Explore

- Tribal Construction or Major Renovation Program Instruction
- Tribal Child Care Facilities: A Guide to Construction and Renovation
- 2019 Tribal Management Institute Concurrent Session 3: Community Needs Assessment, Data, and Evaluation

These include

- Tribal Construction or Major Renovation Program Instruction: https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2020-02
- Tribal Child Care Facilities: A Guide to Construction and Renovation
- 2019 Tribal Management Institute Concurrent Session 3: Community Needs Assessment, Data, and Evaluation
A resource to spotlight is the *Tribal Child Care and Development Fund: Construction and Major Renovation Frequently Asked Questions*. This resource will provide you with answers to many of your questions around construction or major renovation.
Another resource to spotlight is the *Construction and Major Renovation Resource List*.

This resource list can provide you with links to resources that may help you make informed decisions as you move through the planning process.
Poll:

- Has the information provided today increased your knowledge of the topic?
  - Yes
  - No

Now for a poll question: Has the information provided today increased your knowledge of the topic?
Discussion

Do you have any suggestions for improvement?

Please share your responses in the chat box.

Do you have any feedback or suggestions for improvement?
Contact Us

- Send your questions and requests to: [tcbc@mn-e.com](mailto:tcbc@mn-e.com) or call 1-844-710-TCBC (8222)

Remember, you can request technical assistance through the TCBC or your Regional Program Specialist, by emailing [tcbc@mn-e.com](mailto:tcbc@mn-e.com) or calling the number provided here.

- Tribal Child Care Capacity Building Center:
- Send your questions and requests to:
  - [tcbc@mn-e.com](mailto:tcbc@mn-e.com) or call 1-844-710-TCBC (8222)
- OCC Regional Contacts:
Thank you so much for participating in our conversations today, we hope this information has been useful and we look forward to seeing you in a few weeks for our next session.