Construction and Major Renovation
Part I: Application Overview for AI/AN CCDF Grantees

June 2018
Welcome and Introductions

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Agenda

◆ Overview of requirements

◆ Application process and components
  ▪ Supplemental written application
  ▪ Real Property Standard Form SF – 429
  ▪ Submission, review, and notification

◆ Resources
Child Care Facilities

◆ Tribal Lead Agencies may use CCDF funds to make payments for construction or major renovation of child care facilities.

◆ Tribal Lead Agencies, including P.L. 102-477 grantees, must first request and receive approval before using CCDF funds for construction or major renovation.

**Note:** Tribal Lead Agencies may expend funds for minor renovation, without requesting approval.

Source: Child Care and Development Fund, 45 C.F.R. § 98.84 (2016).
Definitions

- **Construction**: Building of a child care facility that does not currently exist.

- **Major Renovation**:  
  1) Structural changes to the foundation, roof, floor, exterior or load bearing walls of a facility, or the extension of a facility to increase its floor area; or  
  2) Extensive alterations of a facility that significantly change its function and purpose, even if such renovation does not include any structural changes.

- **Minor Renovation**: All renovations other than major renovation or construction, as defined above.

Source: Child Care and Development Fund, 45 C.F.R. §§ 98.2, 98.84 (2016).
Examples of Minor Renovation

- Replacing a carpet with floor tile as a result of a monitoring review.
- Upgrading the kitchen to add safe electrical outlets and fix plumbing fixtures.
- Repainting walls with a non-toxic paint.
- Updating a bathroom fixture (e.g., sink, faucet, toilet, etc.) to ensure age-appropriateness and child safety.
- Replacing cabinets with an adequate storage space for each child’s personal belongings.
- Installing handicap access rails and ramps.
- Updating a sidewalk to provide a safe pathway for children.
- Installing safety features on a playground.
- Replacing fire sprinklers, carbon monoxide detectors, and smoke detection systems.
- Replacing windows or doors.
- Completing a small roof repair.

Application NOT Required

National Center on Tribal Early Childhood Development
Construction and Major Renovation Part I: Application Overview for AI/AN CCDF Grantees
Requests for Approval

- Requests to expend CCDF funds on construction and major renovation shall be made in accordance with uniform procedures established by program instruction:
  - Procedures for Requests from Tribal Lead Agencies to Use Child Care and Development Fund (CCDF) Funds for Construction or Major Renovation of Child Care Facilities Program Instruction (CCDF-ACF-PI-2016-05)

- Policy Interpretation Question (PIQ)
  - A number of questions have arisen concerning the Program Instruction.
  - The PIQ lists these questions and answers.
  - Child Care and Development Fund Policy Interpretation Question: Construction And Renovation of Child Care Facilities (ACYF-PIQ-CC-pp-01)

Source: Child Care and Development Fund, 45 C.F.R. § 98.84 (2016).
Requests for Approval (continued)

- To be approved, a request shall demonstrate that:
  - adequate facilities are not otherwise available;
  - the lack of such facilities will inhibit the operation of child care programs in the future; and
  - the use of funds for construction or major renovation will not result in a decrease in the level of child care services provided.

Note: This can be waived if the decrease is temporary and the grantee demonstrates that construction or renovation will increase services and quality.

Source: Child Care and Development Fund, 45 C.F.R. § 98.84 (2016).
Construction and Major Renovation: Application Process and Components
Application Process At a Glance

Pre-Application Activities
Discussions with Regional Office, needs assessment, planning

Application
Real Property Status Report
SF-429 cover page and Attachment B
Supplemental Written Application and Attachments

Application Submission
Applications can be submitted at any time, but must be submitted before August 1 of the FY to use CCDF funds awarded in that FY

Application Review by Office of Child Care (OCC) Regional Office
Generally within 30 days

Notification of Decision
If request is approved and to what extent
Specific amount of CCDF funds that are approved to use

Grant Award
ACF transfers CCDF funds to a separate grant award*

*For Tribes that have consolidated child care with employment and training programs under P.L. 102-477, construction or renovation funds will not be transferred to a separate grant award
Partial Application/Request for Set-Aside

- The Tribal Lead Agency should submit as much information as possible prior to the August 1 deadline. At an absolute minimum, Tribal Lead Agencies must provide complete responses to:
  - Item 1 – Tribal Lead Agency Information, and
  - Item 12 – Amount of CCDF Funds to be transferred for this project (Tribal Mandatory or Discretionary Funds or both)

- Tribes should move expeditiously in completing their application.
Process for P.L. 102-477

- Tribes with approved Plans under P.L. 102-477 must request and receive ACF approval in accordance with the Program Instruction.

- ACF will notify the U.S. Department of Interior upon approving a 102-477 grantee’s construction or renovation application.

- 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.

Program Instruction CCDF-ACF-PI-2016-05, Section III. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Pre-Application Activities for Construction and Major Renovation

- Community needs assessment (required)
- Discussions with OCC Regional Office
- Preparing application components and developing plans and specifications

Note: Tribal Lead Agencies may use CCDF funds for reasonable and necessary planning and consultant costs without prior approval.

Program Instruction CCDF-ACF-PI-2016-05, Section IV and V. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Application for Construction and Major Renovation

- For FY 2018 - Submit prior to August 1st of the fiscal year in order to use funds awarded in this fiscal year.

- Includes:
  - Real Property Status Report SF-429 cover page and Attachment B (Request to Acquire, Improve, or Furnish)
  - Supplemental written application signed by the Tribal Chairperson, or designee

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Multiple Facilities

◆ 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.

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Real Property Standard Form
SF - 429
SF-429 Components Required for Application

- Real Property Standard Form SF-429 cover page
- SF-429-B Request to Acquire, Improve, or Furnish (Attachment B)
Access and Submission

- Submitted in the On-Line Data Collection (OLDC) system

- Program Instruction: *Electronic Submission of Real Property Standard Form (SF)-429 and Attachments* (CCDF-ACF-PI-2017-06)
Supplemental Written Application: Components
Contact Information and Description of Existing Facilities

◆ (1) The Tribal name and Tribal Lead Agency name.

◆ (2) A description of child care facilities that are:

- located within a 50 mile radius of the facility that will be constructed or renovated; and

- currently used by the Tribal Lead Agency for CCDF activities.

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Explanation of Need

- (3) An explanation of why current facilities are not sufficient to carry out CCDF activities.

- (4) A statement that adequate facilities are not otherwise available.
Level of Services

- (5)(a) The following written assurance: "The use of CCDF funds for construction or renovation will not result in a decrease in the level of child care services provided by the Tribal Lead Agency, as compared to the level of services provided in the preceding fiscal year".

- (5)(b) A comparison of the current fiscal year's level of child care services to the previous fiscal year's level of services.

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Level of Services: Waiver

(5)(c) The Tribal Lead Agency may seek a waiver from the requirement to maintain the level of child care services while using CCDF funds for construction or renovation, if the Lead Agency:

- Submits a written assurance that “the decrease in the level of child care services is temporary”.
- Describes the current fiscal year’s level of child care services, the projected decrease as a result of the construction or renovation, and how long the decrease will last.
- Describes how child care services will improve after the completion of the construction or renovation.

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Proposed Location

- (6)(a) A description and map of proposed location for construction and renovation, and explanation of the appropriateness of the location for the service area.

- (6)(b) A description of the impact of the location on:
  - 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.

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Plans and Specifications

- (7)(a) The plans and specifications for the proposed construction or renovation, including architectural designs.
  - Drafts may be accepted if they meet certain criteria.

- (7)(b) A description of the facility once the construction or renovation is complete.

(7)(c) Aspects of the building and physical premises that will ensure children’s health and safety.

(7)(d) Elements of the facility that will help create a developmentally-appropriate learning space.

(7)(e) Culturally significant elements, if any, in the facility’s design or renovation.
Timeline

(8) A proposed time schedule for each major activity of the construction or renovation and occupancy of the facility.

<table>
<thead>
<tr>
<th>Project Name</th>
<th>Schedule Start Date</th>
<th>Area</th>
<th>Square Footage</th>
<th>Scheduled Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Early Learning Center Renovation</td>
<td>January 15, 2019</td>
<td>Renovation of kitchen</td>
<td>850</td>
<td>April 30, 2019</td>
</tr>
<tr>
<td></td>
<td>February 15, 2019</td>
<td>Renovation of library</td>
<td>585</td>
<td>June 30, 2019</td>
</tr>
<tr>
<td></td>
<td>August 30, 2019</td>
<td>Renovation of classroom #1 infant and toddler area</td>
<td>1,010</td>
<td>December 15, 2019</td>
</tr>
</tbody>
</table>

The occupancy of this facility is 120 children and 40 providers.

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Intended Use

(9) A description of the intended use of the facility that will be constructed or renovated, including:

- The percentage of floor space that will be used to provide direct services to children.

- Portion of the facility that will be used for purposes other than the child care program (if applicable).

The facility must be used principally to provide direct services to children.

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Funding and Loans

- (10)(a) Documentation of sources of non-CCDF funds and how they will be used for the proposed construction or renovation.
  - Includes a cost allocation plan for any facility that is shared with other programs.

- (10)(b) Terms of any proposed or existing loan(s) related to the construction or renovation.
  - Includes the repayment plan.

Cost Estimate

◆ (11) An estimate of the total cost of the proposed construction or major renovation.

  Must provide a break down by major cost category.

Must be a copy of written documentation, such as a written estimate prepared by a licensed architect or engineer, to support the cost estimate.

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
(11)(a) Estimated **one-time** costs, such as the costs of planning, labor and materials, equipment, down payment, professional fees, site preparation, etc.

(11)(b) An estimate of **ongoing costs**, such as staffing costs, supplies, insurance premiums, maintenance costs, property taxes, and any other operating costs for the facility or the child care program.

**CCDF funds that are approved for construction or renovation and transferred to the separate grant award may not be used for ongoing operation costs.**

Amount Paid with CCDF Funds

(12) A statement of the amount of construction or major renovation costs that will be paid for with CCDF funds.

- Identify the grant year award.
- Indicate whether the funds should be transferred from mandatory or discretionary funds (can be both or just one).

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Collaboration

- (13) Statement of whether there is a Head Start (HS) or Early Head Start (EHS) program in the service area.

  - If there is a HS or EHS program, the Tribal Lead Agency must describe collaboration efforts.

The Tribal Lead Agency must demonstrate collaboration if there are HS or EHS programs within the service area.

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Land Ownership

(14) A statement regarding who owns the land where the facility is located or will be located.

- If the land is not owned by the Tribal Lead Agency, the Tribal Lead Agency must describe and provide a copy of the easement, right of way, or land lease.
Facility Ownership (Major Renovation ONLY)

◆ (15) Indicate whether the Lead Agency owns the facility that will be renovated.

◆ If the Tribal Lead Agency does not own the facility, the Tribal Lead Agency must provide information about the owner, a copy of written permission allowing the proposed renovation, and a copy of the lease for the facility.

The Tribal Lead Agency must demonstrate a secured lease with access to the facility for a reasonable period of time (usually a minimum of 5 years).

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Oversight and Inspection

◆ (16)(a) A written assurance that the Tribal Lead Agency will provide oversight and inspection during all phases of the project.

◆ (16)(b) A description of specific steps for oversight and inspection, including personnel qualifications.

Written Assurance of Compliance

- (17)(a) Licensing and code requirements to ensure health and safety
- (17)(b) Access requirements under the Americans with Disabilities Act* (P.L. 101-336)

*If applicable

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Impact on Environment

(18)(a) An assessment of the impact of the proposed construction and renovation on the human environment.

- Significant change in land use.
- National Environmental Policy Act (NEPA) of 1969.

(18)(b) Report of the results of tests for environmental hazards.

Program Instruction CCDF-ACF-PI-2016-05, Section VI. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Submission, Review, and Notification
Submission

- Send completed application to:
  - OCC Regional Office
  - Director of Office of Child Care

- Grantees with approved Plans under P.L. 102-477 must also submit to:
  - Chief, Division of Workforce Development, Office of Indian Services, U.S. Department of the Interior

Applications can be submitted at any time, but should be submitted before August 1 of the Fiscal Year (FY) to use CCDF funds awarded in that FY.

Program Instruction CCDF-ACF-PI-2016-05, Section VII. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Review

- OCC Regional Offices (RO) review application.

- The RO will contact the grantee for information if the application is incomplete.

- Time for review process will vary, depending on the level of detail provided, and other factors.
  - Generally, review will be complete within 30 days.
  - If more time is needed, the RO will contact the Tribal Lead Agency.

Notification

◆ The RO will notify the Tribal Lead Agency in writing whether or not the request has been approved.

◆ The notice will specify the specific amount of CCDF funds that can be used for construction and renovation, based on the Tribal Lead Agency’s application.

Program Instruction CCDF-ACF-PI-2016-05, Section VII. Retrieved from https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-05
Approval and Award of Funds

- ACF provides a separate grant with its own grant number.
- A notice of grant award letter is issued to notify the transfer.
- Funds in this separate grant award can only be used for construction or renovation activities (unless ACF authorizes the Tribal Lead Agency to use the funds for other CCDF activities).

For Tribes with approved Plans under P.L. 102-477, construction or renovation funds will not be transferred to a separate grant award. These Tribes cannot use CCDF funds for construction or renovation until the Department of Interior notifies the Tribe.

Resources
# Program Instructions

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<th>Description</th>
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| **Program Instruction: CCDF-ACF-2016-05**  
December 6, 2016 | This program instruction is to provide procedures for requests from Tribal Lead Agencies to use CCDF monies for **construction or major renovation** of child care facilities. |
| **Policy Interpretation Question (PIQ): ACYF-PIQ-CC-99-01**  
February 24, 1999 | This Policy Interpretation Question answers questions that have arisen concerning the Program Instruction. |
| **Program Instruction: CCDF-ACF-2017-05**  
October 11, 2017 | This Program Instruction is a reminder to CCDF Tribal Lead Agencies of the annual financial reporting requirements (i.e., ACF-696T), consistent with the terms and conditions of the CCDF program. |
| **Program Instruction: CCDF-ACF-PI-2017-06**  
December 12, 2017 | This Program Instruction provides information on Electronic Submission of Real Property Standard Form (SF)-429 and Attachments. |
Application Checklist

- Located in *Procedures for Requests from Tribal Lead Agencies to Use Child Care and Development Fund (CCDF) Funds for Construction or Major Renovation of Child Care Facilities Program Instruction (CCDF-ACF-PI-2016-05)*

- Attachment D
American Indian and Alaska Native Child Care and Development Fund: Guide to Financial Management, Grants Administration, and Program Accountability

- Updated in 2018

Contact Us

National Center on Tribal Early Childhood Development

- Phone: 877-296-2401
- Email: nctecd@ecetta.info
- Website: https://childcareta.acf.hhs.gov/centers/national-center-tribal-early-childhood-development
- Newsletter: http://eepurl.com/cs6Osv