



# National Center on Tribal Early Childhood Development

## Developing Policies and Procedures for Quality Improvement Activities

Office of Child Care's 2018 American Indian  
and Alaska Native Regional Conference



# Welcome

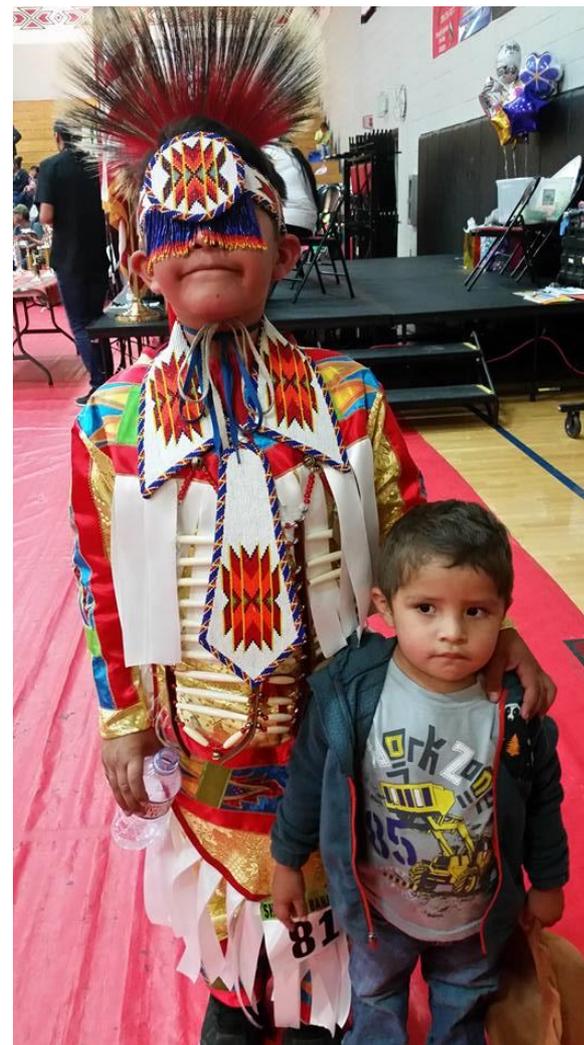


# Objectives

- ◆ Participants will explore policies and procedures for key steps in the quality improvement process.
- ◆ Participants will assess their current policies and procedures and identify next steps to align their policies and procedures with Child Care and Development Fund (CCDF) final rule requirements.
- ◆ Participants will explore the ways that their CCDF policies and procedures can be integrated into their overall tribal administrative systems.

# Agenda

- ◆ Review: introduction to written CCDF policies and procedures
- ◆ Aligning CCDF policies and procedures to the CCDF final rule
- ◆ Planning and writing workshop for quality improvement policies and procedures





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# Review: Introduction to Written CCDF Policies and Procedures



# Why Are Policies and Procedures Important?

- ◆ Provide direction and structure for program staff
- ◆ Provide consistency and ensure fair treatment for all parties
- ◆ Provide a smooth transition for the next program administrator
- ◆ Protect the rights and reduce the liabilities of the tribe, program, staff, providers, and families
- ◆ Document responsibility for implementation, monitoring, and enforcement
- ◆ Provide workflow documentation
- ◆ Reduce misunderstandings between program staff and participating families

# Policies versus Procedures

- ◆ **Policies** are the statements, rules, and definitions that guide the tribal Lead Agency (TLA) in the process of implementing the CCDF program.
- ◆ **Procedures** are the step-by-step details of when, where, and how policies are implemented and who is responsible for each step.

# A Policy Tells Us

- ◆ What is to be done
- ◆ Who is responsible
- ◆ Who is covered or affected
- ◆ In what circumstances it applies
- ◆ The degree to which the policy is applied
- ◆ Definitions of specific terms used
- ◆ Penalties for failure to follow the rules

# A Procedure Tells Us

- ◆ What steps must be taken to implement a certain policy or to achieve a specific goal
- ◆ Who is responsible for each step in the process
- ◆ When, where, and how each step is to be done
- ◆ What verification or follow-up is needed
- ◆ Where to get additional information or guidance when questions arise
- ◆ How to apply penalties for failures to comply

# Example: Quality Improvement Activity Spending

## Policy

- ◆ The tribal Lead Agency (TLA) will ensure that all participating children and families have access to high-quality early care and education services as recipients of CCDF program services. The CCDF Administrator will be responsible for ensuring that the TLA dedicates a minimum of 9 percent of each federal fiscal year's CCDF funds to quality improvement activities according to the following processes:

What is to be done and when it applies

# Example: Quality Improvement Activity Spending

## Procedure

- ◆ The CCDF Administrator will maintain documentation of quality improvement activities completed during each fiscal year.
- ◆ The CCDF Administrator will maintain an annual cuff account to cross-reference with monthly expenditure reports received from the financial department.
- ◆ Each month, expenditure reports will be reconciled with the CCDF cuff account to ensure that spending is being allocated to the appropriate line items as designated by the CCDF Administrator.
- ◆ In the monthly report to Tribal Council, the CCDF Administrator will provide details and explanation of monthly quality improvement activities, as well as an indication of the status of the progression along program quality goals as indicated in the current CCDF Plan Preprint.

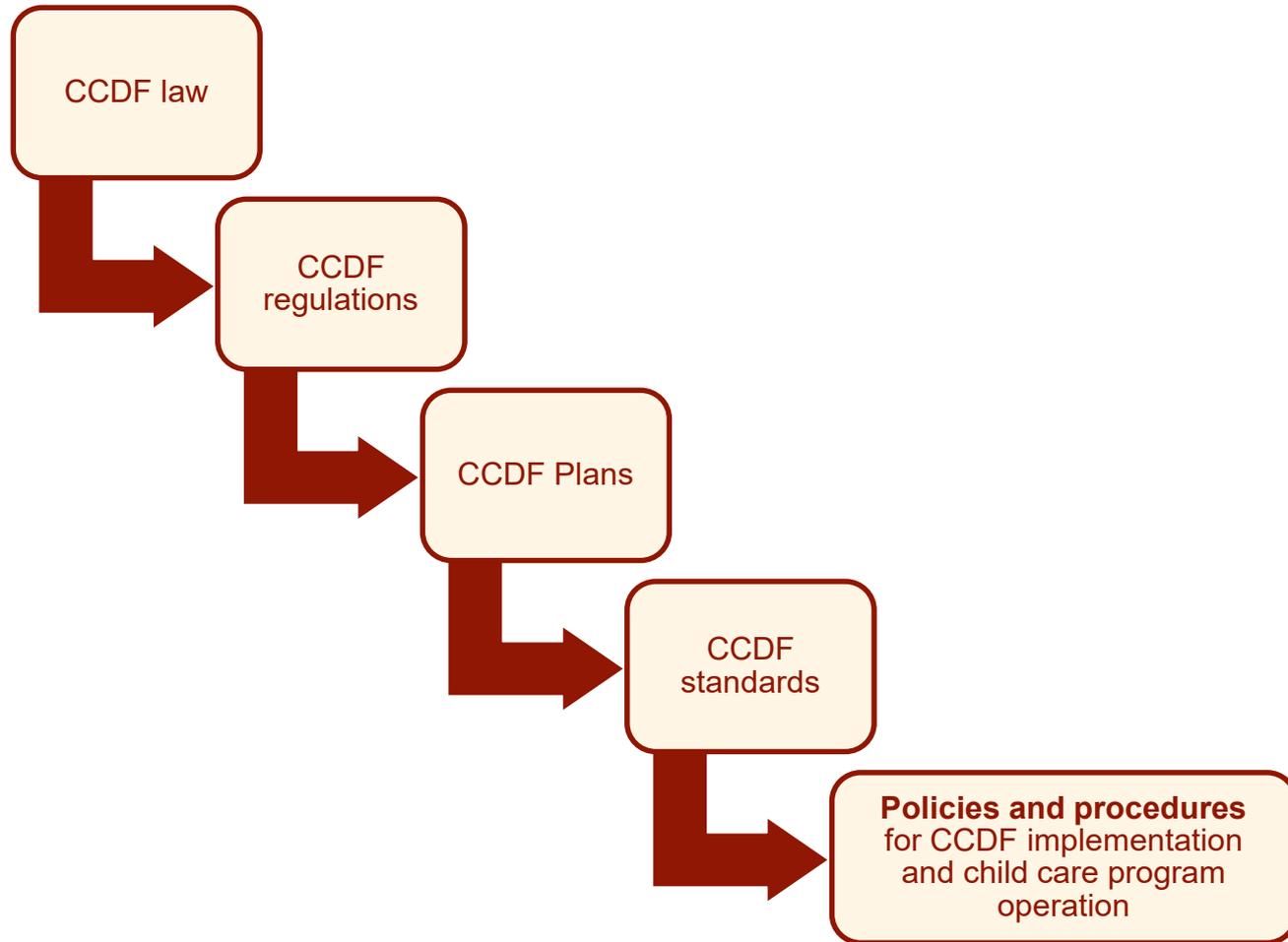
Steps required; who is responsible; when, where, and how each step will be completed



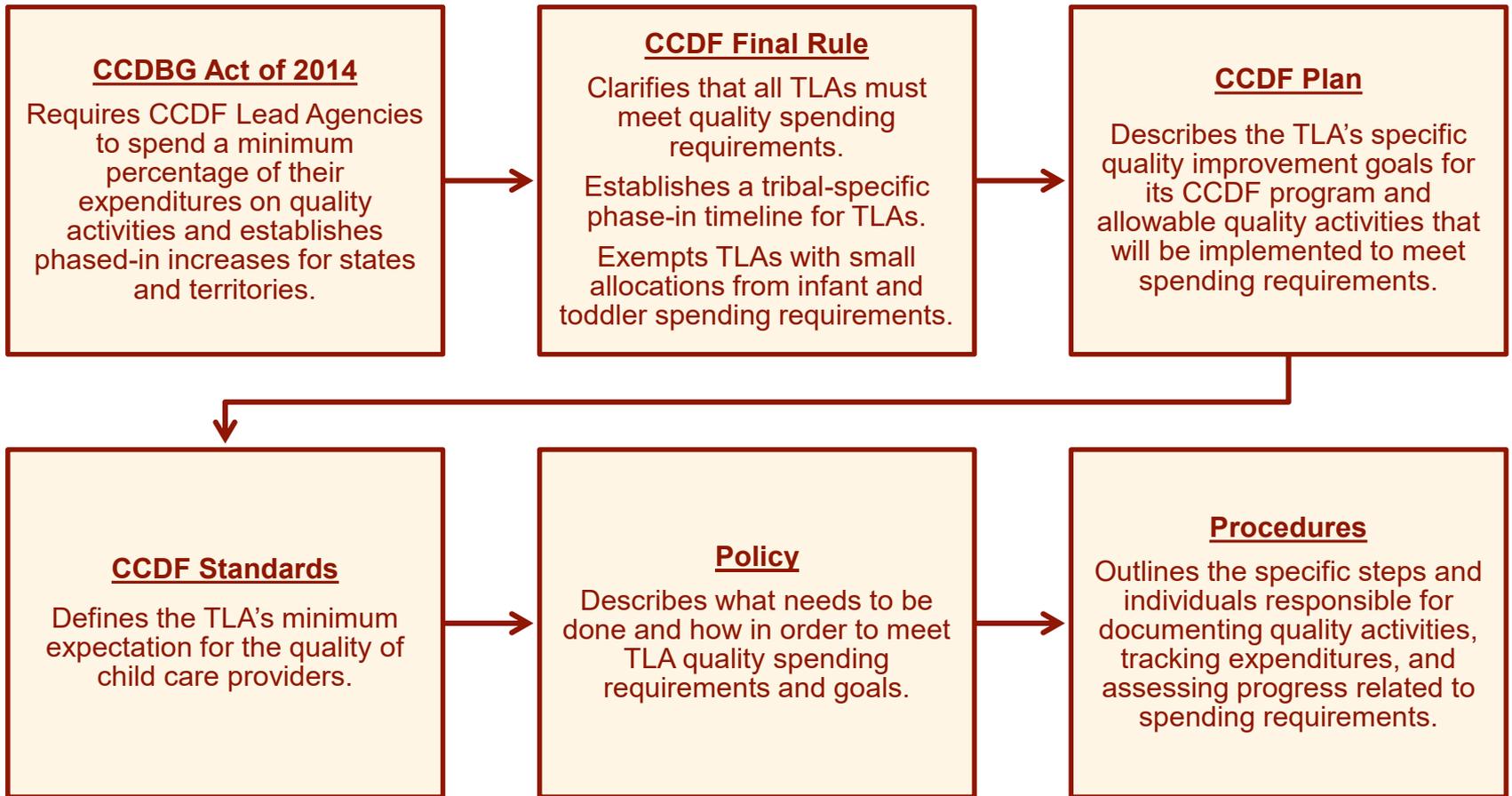
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# Aligning Policies and Procedures

# Aligning Policies and Procedures

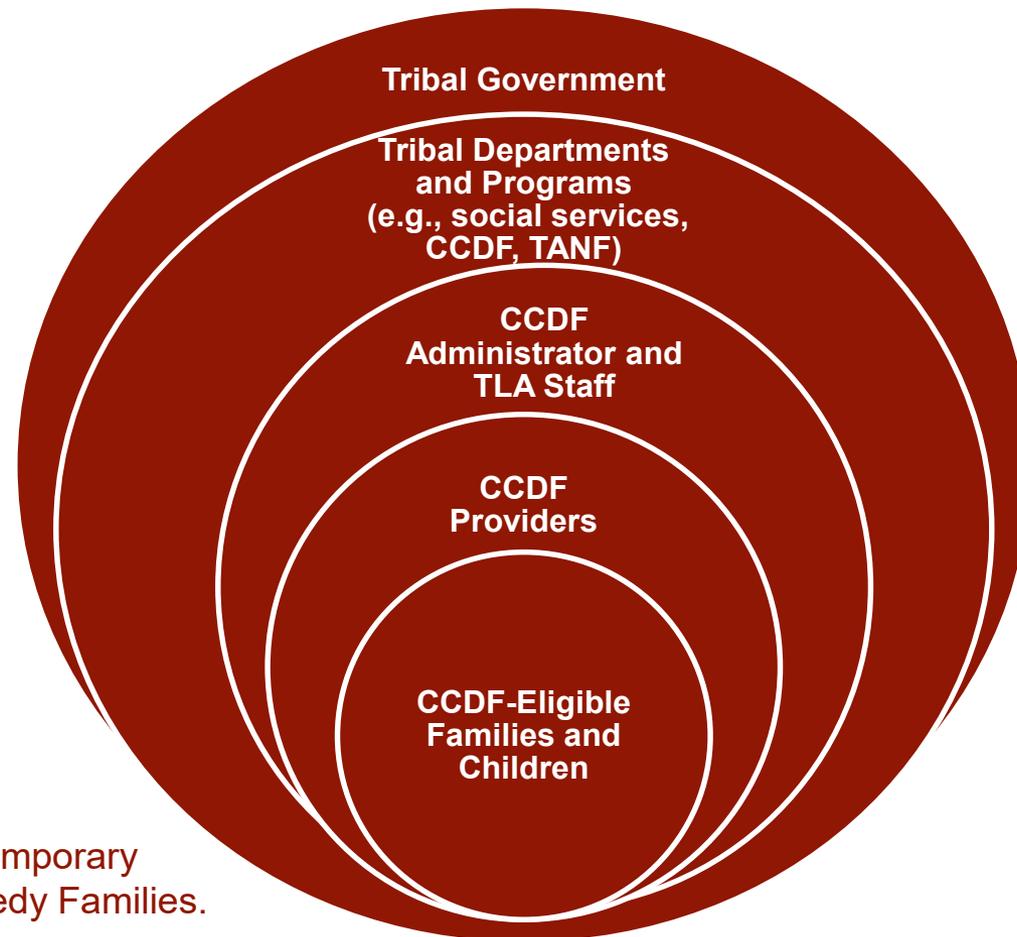


# Example: Quality Spending



Note: "CCDBG" is Child Care and Development Block Grant.

# How Do CCDF Policies and Procedures Fit into the Larger System?



Note: “TANF” is Temporary Assistance for Needy Families.



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# Planning and Writing Workshop

# Template

- ◆ Topic
- ◆ Tribe or organization
- ◆ Section
- ◆ Background or regulation
- ◆ Policy title
- ◆ Policy
- ◆ Date policy becomes effective
- ◆ Procedures
- ◆ Additional information

|                         |                 |
|-------------------------|-----------------|
| Topic:                  |                 |
| Tribe/Organization      |                 |
|                         |                 |
| Section                 |                 |
|                         |                 |
| Background / Regulation |                 |
|                         |                 |
| Policy Title            |                 |
|                         |                 |
| Policy                  | Effective Date: |
|                         |                 |
| Procedures              |                 |
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| Additional Information  |                 |
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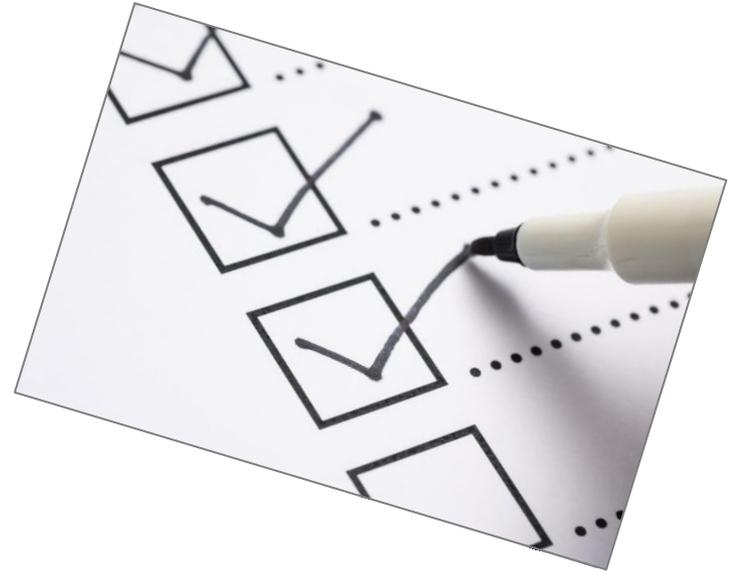
# Policies and Procedures Checklist for Child Care and Development Fund Tribal Lead Agencies

- ◆ **Checklist 1:** Define CCDF Leadership and Coordination with Relevant Systems
- ◆ **Checklist 2:** Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings
- ◆ **Checklist 3:** Supporting Continuous Quality Improvement
- ◆ **Checklist 4:** Provide Stable Child Care Financial Assistance (medium and large allocations)
- ◆ **Checklist 5:** Ensure Equal Access to High-Quality Child Care for Low-Income Children (medium and large allocations)
- ◆ **Checklist 6:** Promote Family Engagement through Outreach and Consumer Education (medium and large allocations)

# Questions and Answers



# Small-Group Work





# Reflective Evaluation

What worked today?

What do we want more of?

**National Center on Tribal Early Childhood Development,  
A Service of the Office of Child Care**

9300 Lee Highway  
Fairfax, VA 22031  
Phone: 877-296-2401

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