

# Policies and Procedures Checklist

For CCDF Tribal Lead Agencies



National Center on Tribal  
Early Childhood Development

## Policies and Procedures Checklist for Child Care and Development Fund Tribal Lead Agencies

Child Care and Development Fund (CCDF) Tribal Lead Agencies (TLAs) are responsible for developing and implementing policies and procedures (P&Ps) to monitor CCDF programs and services, ensure compliance with requirements, and provide oversight of all fund expenditures. The CCDF final rule requires TLAs to have policies and procedures in place to communicate clearly program information, such as requirements, consumer education information, and eligibility information to families and child care providers. The following checklists were developed to support TLAs with assessing the comprehensiveness of their written policies and procedures in relationship to the CCDF final rule requirements. Checklists 1 through 3 apply to all TLAs. Checklists 4 through 6 apply only to grantees with medium and large allocations (that is, allocations of \$250,000 or more).

The first column of each checklist includes topics that relate to certain aspects of CCDF administration. Some are followed by references to specific parts of the Code of Federal Regulations that provide additional information about CCDF final rule requirements related to the topics. The following are explanations of what information is included in the second through the fifth checklist columns:

- ◆ **Needs P&Ps:** A checkmark in this column means that this aspect of the CCDF program is not currently addressed in written policies and procedures.
- ◆ **P&Ps Need Revision:** A checkmark in this column means that written policies and procedures regarding this aspect of the CCDF program are incomplete, inaccurate, or need updating to align with current applicable laws and regulations.
- ◆ **Included in Existing P&Ps:** A checkmark in this column means that existing written policies and procedures clearly communicate TLA guidelines regarding this aspect of the CCDF program, and they outline specific steps for implementation and oversight according to applicable laws, regulations, and policies.
- ◆ **P&Ps Need a Form:** A checkmark in this column means that one or more forms are required to implement, verify, or document TLA policies and procedures regarding this aspect of the CCDF program. For example, a CCDF application form for families.

## Checklist 1: Define CCDF Leadership and Coordination with Relevant Systems

Table 1. CCDF Oversight and Administration

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying the CCDF administration structure (either a consortium or single tribe). For more information, see 45 C.F.R. § 98.80(b), 98.80(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>For consortia only:</b> P&Ps regarding the coordination of services on behalf of each participating tribe/village. For more information, see 45 C.F.R. § 98.80(c), 98.81(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>For consortia only:</b> P&Ps regarding the collection of resolutions of participation from each participating tribe. For more information, see 45 C.F.R. § 98.80(c), 98.81(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps designating the tribal Lead Agency and its responsibilities. For more information, see 45 C.F.R. § 98.10, 98.83(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps establishing the tribal CCDF Administrator and associated responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps establishing a tribal CCDF online data collection authorized official and associated responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying how the TLA administers the CCDF program (i.e., directly or via contracts and agreements). For more information, see 45 C.F.R. § 98.11.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the overall control of CCDF-funded program components administered via contracts and agreements, and the process for monitoring related responsibilities. For more information, see 45 C.F.R. § 98.11.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 2. Consultation in the Development of the CCDF Plan**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding consultation with representatives of the local/tribal government. For more information, see 45 C.F.R. § 98.82, 98.12.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding consultation with any other tribal or non-tribal organizations or entities. For more information, see 45 C.F.R. § 98.82, 98.14.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the public hearing on the CCDF Plan, including timeline, how the TLA provides notice (at least 20 days in advance), and how the CCDF Plan is made available. For more information, see 45 C.F.R. § 98.14(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding how the TLA makes the final CCDF Plan and any Plan amendments available to the public. For more information, see 45 C.F.R. § 98.14(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 3. Indian Child, Indian Reservation or Service Area, and Child Count**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying the TLA’s definition of “Indian child” for the purposes of determining eligibility, and the documentation process for verifying eligible children meet that definition. For more information, see 45 C.F.R. § 98.81(b), 98.83(f).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the TLA’s definition of “reservation/service area,” and the documentation process for verifying eligible children reside within the service area. For more information, see 45 C.F.R. § 98.81(b), 98.83(f).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the determination of the triennial Child Count. For more information, see 45 C.F.R. § 98.80(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding how the TLA ensures unduplicated child counts if TLA’s service area is adjacent to or overlapping with another TLA’s service area (if applicable). For more information, see 45 C.F.R. § 98.80(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying TLA eligibility criteria related to child age, and the documentation process for verifying eligible children meet those requirements. For more information, see 45 C.F.R. § 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying if the TLA allows CCDF-funded care for children up to age 19 who are physically or mentally incapable of self-care, including the TLA definition of “physical or mental incapacity,” and the documentation process for verifying eligible children meet that definition (if applicable). For more information, see 45 C.F.R. § 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if the TLA allows CCDF-funded child care for children up to age 19 who are under court supervision, and the documentation process for verifying children are under court supervision (if applicable). For more information, see 45 C.F.R. § 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 4. Coordinating the Delivery of CCDF Services**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding coordination with public health, including the agency responsible for immunizations. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with employment services or workforce development. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with public education. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding coordination with Temporary Assistance for Needy Families. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with child care licensing. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with Head Start. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with statewide after-school network or other coordinating entity for out-of-school time care (if applicable). For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with entities responsible for emergency management and response. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with Child and Adult Care Food Program and other relevant nutrition programs. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with entities responsible for services for children experiencing homelessness. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with entities responsible for Medicaid and children's health insurance programs. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding coordination with entities responsible for mental health services. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with entities responsible for child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development. For more information, see 45 C.F.R. § 98.14(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination with other entities, if applicable. For more information, see 45 C.F.R. § 98.14(a), 98.82(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the assessment of the TLA's community child care needs, including the needs of underserved populations (e.g., infants and toddlers, families experiencing homelessness, special needs children, and children in need of non-traditional hours of care). For more information, see 45 C.F.R. § 98.16(x).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 5. Program Integrity and Accountability**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding monitoring of programs and services. For more information, see 45 C.F.R. § 98.11(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding ensuring compliance with all CCDF requirements. For more information, see 45 C.F.R. § 98.11(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding oversight for all fund expenditures. For more information, see 45 C.F.R. § 98.11(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding preventing, identifying, and investigating improper payments and fraud. For more information, see 45 C.F.R. § 98.68.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding recovering improper payments (due to fraud or unintentional errors/program violations). For more information, see 45 C.F.R. § 98.68.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding meeting federal reporting requirements and completing annual reports (ACF-700, ACF-696T). For more information, see 45 C.F.R. § 98.11(b), 98.70.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

## Checklist 2: Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings

Table 1. Implementation of Health and Safety Standards

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding prevention and control of infectious diseases (including the process for ensuring age-appropriate immunizations). For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if the TLA allows immunization exemptions for children who are cared for by relatives or children who receive care in their own homes (provided there are no other unrelated children who are cared for in the same setting), children whose parents object to immunization on religious grounds, and children whose medical condition prevents immunization (if applicable). For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding a grace period that allows children experiencing homelessness and children in foster care to receive CCDF services while providing their families with time to take any necessary action to comply with immunization and other health and safety requirements. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding prevention of sudden infant death syndrome and the use of safe sleep practices. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding administration of medication, consistent with standards for parental control. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding prevention of and response to emergencies due to food and allergic reaction. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding building and physical premises safety, including the identification of and protection from hazards that can cause bodily injury, such as electrical hazards, bodies or water, and vehicular traffic. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding prevention of shaken baby syndrome, abusive head trauma, and child maltreatment. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event (such as violence at a child care facility) that includes procedures for evacuation, relocation, shelter-in-place, and lock down; staff and volunteer emergency preparedness training and practice drills; communication and reunification with families; continuity of operations; and accommodation of infants and toddlers, children with disabilities, and children with chronic medical conditions. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the establishment of a child care disaster plan for the tribal CCDF service area, developed in collaboration with appropriate stakeholders. For more information, see 45 C.F.R. § 98.16(aa).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the continuation of child care subsidies and child care services, which may include the provision of emergency and temporary child care services during a disaster and temporary operating standards for child care after a disaster. For more information, see 45 C.F.R. § 98.16(aa).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding coordination of post-disaster recovery of child care services. For more information, see 45 C.F.R. § 98.16(aa).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding handling and storage of hazardous materials and the appropriate disposal of biocontainments. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding precautions in transporting children (if applicable). For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding pediatric first aid and cardiopulmonary (CPR) certification. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding recognition and reporting of child abuse and neglect. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding nutrition and access to physical activity (optional). For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding caring for children with special needs (optional). For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding additional standards needed to promote child development or protect health and safety (optional). For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding variations in standards, appropriate to the provider setting and ages of children served. For more information, see 45 C.F.R. § 98.41(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if relative providers are exempt from certain health and safety standards (optional). For more information, see 45 C.F.R. § 98.42(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 2. Implementation of Standards for Ratios, Group Sizes, and Qualifications**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding adult-to-child ratio standards, provider setting, and age group (infant, toddler, preschool, school-age, and mixed-age groups). For more information, see 45 C.F.R. § 98.41(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding group size limits by provider setting and age group (infant, toddler, preschool, school-age, and mixed-age groups). For more information, see 45 C.F.R. § 98.41(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding teacher/caregiver qualifications by provider setting and age group (infant, toddler, preschool, school-age groups). For more information, see 45 C.F.R. § 98.41(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding director qualifications for tribally operated centers and center-based care (if applicable). For more information, see 45 C.F.R. § 98.41(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 3. Health and Safety Training for CCDF Providers**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying required preservice or orientation trainings on required health and safety topics, child development, and recognition and reporting of child abuse and neglect. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying minimum number of preservice or orientation training hours on health and safety topics for caregivers, teachers, and directors by category of care. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the length of time that providers have to complete required preservice or orientation trainings after providing care for children (must be 3 months or fewer). For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying required preservice or orientation trainings to be completed before caregivers, teachers, and directors are allowed to care for children unsupervised. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying required ongoing trainings on health and safety topics, child development, and recognition and reporting of child abuse and neglect. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the minimum number of annual training hours on health and safety topics for caregivers, teachers, and directors by category of care. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the frequency of required ongoing training by topic (e.g., health and safety topics, child development, and recognition and reporting of child abuse and neglect). For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding verification that health and safety trainings are completed as required.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 4. Monitoring and Enforcement Policies and Practices for CCDF Providers**

TLAs can select from the following monitoring approaches:

- ◆ **Following the CCDF final rule provision at 98.42(b)(2) that requires inspections of child care providers and facilities.**
  - For licensed child care providers, one prelicensure inspection for compliance with health, safety, and fire standards and at least one unannounced inspection per year for compliance with all child care licensing, health, safety, and fire standards is required.
  - For license-exempt providers, an annual inspection for compliance with health, safety, and fire standards is required.
- ◆ **Proposing an alternative monitoring approach.**
  - Monitor CCDF providers for compliance with health and safety requirements using an alternative monitoring approach, and provide justification in the CCDF Plan. Some of the following monitoring requirements may not apply if a TLA is using an alternative monitoring approach and this topic is not part of that approach.

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the authorization of CCDF providers (e.g., license, approval, certificate, or other authorization). For more information, see 45 C.F.R. § 98.83(d)(1).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the TLA's monitoring approach for ensuring that CCDF providers comply with all applicable health, safety, and fire standards and requirements. For more information, see 45 C.F.R. § 98.83(d)(2), 98.42(a), 98.42(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding maintenance of provider records regarding approvals, inspections, violations, and related documentation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding inspections prior to the provision of CCDF services.* For more information, see 45 C.F.R. § 98.42(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding routine announced monitoring visits.* For more information, see 45 C.F.R. § 98.42(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding routine unannounced monitoring visits.* For more information, see 45 C.F.R. § 98.42(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specific to the agency (TLA or other agency) responsible for conducting monitoring visits.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying qualifications for individuals who are hired as inspectors to inspect child care providers and facilities and trainings required (including health and safety training appropriate to the provider setting and age of the children served). For more information, see 45 C.F.R. § 98.42(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the ratio of inspectors to child care providers in order to enable the TLA to conduct effective inspections on a timely basis in accordance with applicable laws. For more information, see 45 C.F.R. § 98.42(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding how the TLA will ensure the health and safety of children in relative care if relative providers are exempt from some or all monitoring requirements. For more information, see 45 C.F.R. § 98.42(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding how the TLA will obtain monitoring/inspection results by category of care if conducted by an agency other than the TLA.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the enforcement of requirements, corrective actions, and follow-up with providers regarding issues of noncompliance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding provider appeals about monitoring findings and enforcement actions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

\* This monitoring topic may not apply if a TLA is using an alternative monitoring approach and this topic is not part of that approach.

### Table 5. Criminal Background Checks

TLAs are subject to the requirement to conduct comprehensive criminal background checks (CBCs), unless the TLA describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. Some of the following CBC components may not apply or may look different if a TLA is implementing an alternative background check approach.

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying the TLA’s approach for implementing CBCs (i.e., using the approach outlined in CCDF final rule or an alternate approach). For more information, see 45 C.F.R. § 98.83(d)(3).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying individuals subject to CBCs, including child care staff members and prospective child care staff members. For more information, see 45 C.F.R. § 98.43(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying the components of CBCs (i.e., registries, repositories, or databases that must be searched for completion of a background check). For more information, see 45 C.F.R. § 98.43(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for checking the National Crime Information Center's National Sex Offender Registry.* For more information, see 45 C.F.R. § 98.43(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for checking the state criminal registry or repository in the state(s) where the staff member currently resides or has resided in the past 5 years, with the use of fingerprints in the state where the staff member resides, and whether fingerprints will be checked in states where the staff member previously lived.* For more information, see 45 C.F.R. § 98.43(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for checking the sex offender registry or repository in the state(s) where the staff member currently resides or has resided in the past 5 years.* For more information, see 45 C.F.R. § 98.43(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for checking the state-based child abuse and neglect registry and database in the state(s) where the staff member currently resides or has resided in the past 5 years.* For more information, see 45 C.F.R. § 98.43(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
<p>P&amp;Ps specifying crimes that disqualify child care staff members or prospective members from employment by CCDF child care providers (i.e., a crime that requires the person to be registered on a state sex offender registry or repository or the National Sex Offender Registry, a felony, violent misdemeanor against a child, or drug-related offense committed during the past 5 years).* For more information, see 45 C.F.R. § 98.43(b).</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>P&amp;Ps regarding the identification of child care staff members that are ineligible for employment due to refusing to consent to CBC, purposely providing false information, or being convicted of a disqualifying crime and a P&amp;P for enforcement.* For more information, see 45 C.F.R. § 98.43(c).</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>P&amp;Ps regarding the identification of child care providers who are ineligible for CCDF funds because they employ a staff member who is ineligible based on CBC requirements and a P&amp;P for enforcement.* For more information, see 45 C.F.R. § 98.43(c).</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>P&amp;Ps regarding the process and timeline for providers to submit requests for CBC for a prospective staff member prior to the date that the individual becomes a staff member.* For more information, see 45 C.F.R. § 98.43(d).</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying the timeline, frequency, and process for background checks required for child care staff members (at least once every 5 years). <sup>*</sup> For more information, see 45 C.F.R. § 98.43(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding whether prospective child care staff can begin provisional employment after completing certain components (i.e., FBI finger print check or search of the state criminal registry or repository with the use of fingerprints), under full supervision while the completion of all CBC components are pending. <sup>*</sup> For more information, see 45 C.F.R. § 98.43(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for carrying out a child care provider's request for a CBC in a timely manner and in no longer than 45 days. <sup>*</sup> For more information, see 45 C.F.R. § 98.43(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for providing CBC results to the provider (i.e., whether the individual is eligible or ineligible) without revealing the disqualifying crime or other related information about the individual in order to ensure privacy. <sup>*</sup> For more information, see 45 C.F.R. § 98.43(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for providing CBC results to the individual with information regarding any disqualifying crime(s) and information on the appeals process. <sup>*</sup> For more information, see 45 C.F.R. § 98.43(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the appeal of CBC results. <sup>*</sup> For more information, see 45 C.F.R. § 98.43(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps for ensuring that individual CBCs will not be released publically.* For more information, see 45 C.F.R. § 98.43(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if the TLA allows for a review process for individuals with drug-related felonies committed in the past 5 years, and P&Ps for determining whether such individuals are eligible for employment. For more information, see 45 C.F.R. § 98.43(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if the TLA charges fees for completing background checks and the associated costs. For more information, see 45 C.F.R. § 98.43(f).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding how the TLA will make CBC policies/procedures available, including information about how providers can submit CBC requests.* For more information, see 45 C.F.R. § 98.43(g).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

\* This CBC requirement may not apply or may look different if a TLA is using an alternative CBC approach and this component is not part of that approach.

## Checklist 3: Supporting Continuous Quality Improvement

**Table 1. Quality Improvement Goals and Activities**

All TLAs must spend a percentage of their total CCDF expenditures (mandatory and discretionary funds, excluding the discretionary base amount) on quality improvement activities. This percentage is 7 percent in fiscal year (FY) 2018 and 2019, 8 percent in FY 2020 and 2021, and 9 percent in FY 2022 and each succeeding FY. Starting in FY 2019, TLAs receiving large and medium allocations are also subject to a 3 percent infant and toddler quality spending requirement (TLAs with small allocations are exempt from the infant and toddler quality spending requirement).

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the assessment of quality improvement needs. For more information, see 45 C.F.R. § 98.53(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the identification of quality improvement priorities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the formulation of quality improvement goals for each CCDF Plan cycle. For more information, see 45 C.F.R. § 98.53(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the identification of allowable quality activities to achieve identified quality improvement goals. For more information, see 45 C.F.R. § 98.53(a), 98.53(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for the implementation of each quality activity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the evaluation of progress toward meeting the overall child care quality improvement goals and activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for the modification of quality goals and activities, including submitting CCDF Plan amendments as needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding fiscal management of quality funds to meet spending requirements (quality budgeting, expending funds, tracking quality expenditures, and assessing progress toward quality spending requirements). For more information, see 45 C.F.R. § 98.83(g).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying whether the TLA leverages other funds to support quality improvement goals and activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 2. Supporting Training and Professional Development of the Child Care Workforce with CCDF Quality Funds**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding professional development for child care providers caring for infants and toddlers. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding professional development for child care providers caring for preschoolers. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding professional development for child care providers caring for school-age children. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding professional development for child care providers caring for indigenous language learners. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding professional development for child care providers caring for children with developmental delays and disabilities. For more information, see 45 C.F.R. § 98.44(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 3. Building the Supply of High-Quality Care (Required for TLAs with Medium and Large Allocations)**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding strategies for increasing the supply and improving the quality of child care services for children in underserved areas. For more information, see 45 C.F.R. § 98.16(x).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding strategies for increasing the supply and improving the quality of child care services for infants and toddlers. For more information, see 45 C.F.R. § 98.16(x).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding strategies for increasing the supply and improving the quality of child care services for children with disabilities. For more information, see 45 C.F.R. § 98.16(x).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding strategies for increasing the supply and improving the quality of child care services for children who receive care during traditional hours. For more information, see 45 C.F.R. § 98.16(x).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

## Checklist 4: Provide Stable Child Care Financial Assistance (Medium and Large Allocations)

**Table 1. Eligible Children and Families**

Additional eligibility requirements that apply to all TLAs can be found in [Checklist 1, Table 3: Indian Child, Indian Reservation or Service Area, and Child Count](#).

Under the CCDF final rule, if a grantee’s tribal median income is below 85 percent of the state median income, the TLA has the option of considering any indian child in its service area to be eligible to receive CCDF funds, regardless of a family’s income, work, or training status, provided that services are given to those with the greatest need. This approach is known as “categorical eligibility.” If a TLA is implementing categorical eligibility, some of the following requirements may not apply.

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying the TLA’s definition of “working” for the purposes of determining eligibility, and the documentation process for verifying that families meet that definition.* For more information, see 45 C.F.R. § 98.16 (g), 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the TLA’s definition of “job training” for the purposes of determining eligibility, and the documentation process for verifying that families meet that definition.* For more information, see 45 C.F.R. § 98.16 (g), 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the TLA’s definition of “education” for the purposes of determining eligibility, and the documentation process for verifying that families meet that definition.* For more information, see 45 C.F.R. § 98.16 (g), 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying if the TLA considers “job search” as a qualifying activity for the purposes of determining eligibility, and the documentation process for verifying that activity.* For more information, see 45 C.F.R. § 98.21(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the TLA’s definition of “protective services” for the purposes of determining eligibility, and the documentation process for verifying children meet that definition.* For more information, see 45 C.F.R. § 98.16 (g), 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the TLA’s definition of “residing with” (including in loco parentis), and the documentation process for verifying children meet that definition.* For more information, see 45 C.F.R. § 98.16 (g), 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if and how the TLA waives income eligibility requirements for cases in which children receive or need to receive protective services on a case-by-case basis.* For more information, see 45 C.F.R. § 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if and how the TLA provides respite care to custodial parents of children in protective services.* For more information, see 45 C.F.R. § 98.16 (g), 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the TLA’s definition of “income” for the purposes of determining eligibility, and the documentation process for verifying family income.* For more information, see 45 C.F.R. § 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the determination of grantee median income.* For more information, see 45 C.F.R. § 98.81(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying income eligibility limits (cannot exceed 85% of grantee median income [GMI]).* For more information, see 45 C.F.R. § 98.81(b).						
P&Ps regarding a graduated phase-out process and tiered eligibility levels if TLA sets income eligibility limit below 85% of GMI.* For more information, see 45 C.F.R. § 98.21(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the verification of assets for the purposes of determining eligibility (cannot exceed \$1,000,000).* For more information, see 45 C.F.R. § 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding if and how the TLA waives asset limit requirements for cases in which children receive or need to receive protective services on a case-by-case basis.* For more information, see 45 C.F.R. § 98.20(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for taking into account irregular fluctuations in income for the purposes of determining eligibility.* For more information, see 45 C.F.R. § 98.21(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying additional eligibility criteria and definitions. For more information, see 45 C.F.R. § 98.20(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

\*May not apply if TLA is implementing categorical eligibility.

**Table 2. Application and Eligibility Determination/Redetermination Process**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps for informing parents about the availability and application process for CCDF.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the process and methods for parents to apply for CCDF.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the documentation and verification of child and family eligibility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for ensuring timely eligibility determinations upon receipt of applications. For more information, see 45 C.F.R. § 98.16 (h).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding prioritization of applications received and wait list procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the length of the eligibility and redetermination period and implementation (must be at least 12 months). For more information, see 45 C.F.R. § 98.21 (a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the TLA's definition and minimum length of time for "temporary changes in activity" for the purpose of eligibility.* For more information, see 45 C.F.R. § 98.21 (a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying if and how the TLA discontinues assistance due to a parent's non-temporary loss or cessation of eligible activity, and the length of job-search period provided (must be at least 3 months) to allow parents to engage in a job search and resume participation in an eligible activity.* For more information, see 45 C.F.R. § 98.21 (a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if and how the TLA discontinues assistance due to excessive unexplained absences (after attempts to contact family, including the prior notification of a possible discontinuation of assistance). For more information, see 45 C.F.R. § 98.21 (a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if and how the TLA discontinues assistance due to a change in residency outside of the tribal service area. For more information, see 45 C.F.R. § 98.21 (a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if and how the TLA discontinues assistance due substantiated fraud or intentional program violations that invalidate prior eligibility determinations. For more information, see 45 C.F.R. § 98.21 (a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying requirements for families to report changes in income during the eligibility period that exceed 85% of GMI, taking into account irregular fluctuations in income, and P&Ps for ensuring that reporting is not burdensome. For more information, see 45 C.F.R. § 98.21 (e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying any additional family reporting requirements during the eligibility period (must be limited to changes that impact a family’s eligibility or that impact the TLA’s ability to contact the family), and P&P for ensuring that reporting is not burdensome. For more information, see 45 C.F.R. § 98.21 (e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps about informing parents who receive Temporary Assistance for Needy Families (TANF) benefits about the exception to individual penalties associated with the TANF work requirements. For more information, see 45 C.F.R. § 98.33 (f).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding ensuring that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds. For more information, see 45 C.F.R. § 98.31.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

\*May not apply if TLA is implementing categorical eligibility.

**Table 3. Improving Access for Vulnerable Children and Families**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the prioritization of services for children with special needs, as defined by the TLA. For more information, see 45 C.F.R. § 98.46(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying other special considerations for vulnerable populations (children receiving protective services, children in foster care, etc.) when determining eligibility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying other additional priority rules or categories.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the prioritization of services, strategies for improving access, and strategies for conducting outreach for homeless children and families. For more information, see 45 C.F.R. § 98.46(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 4. Family Contribution to Payments**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the establishment of a sliding fee scale that varies based on family income and the size of the family to be used in determining each family’s copayment, and specifies any additional factors that are used to determine each family’s copayment. For more information, see 45 C.F.R. § 98.45(k).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps about ensuring that the family copayment is affordable and is not a barrier to families receiving CCDF funds. For more information, see 45 C.F.R. § 98.45(k).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying if and how the TLA waives copayments for families whose incomes are at or below the poverty level, who are receiving or needing to receive protective services, or who meet other criteria established by the TLA. For more information, see 45 C.F.R. § 98.45(k).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if and how the TLA allows providers to charge families additional amounts greater than the required copayment in instances where the provider's price exceeds the subsidy payment. For more information, see 45 C.F.R. § 98.45(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

## Checklist 5: Ensure Equal Access to High-Quality Child Care for Children from Low-Income Families (Medium and Large Allocations)

Table 1. Direct Child Care Services

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying methods for providing direct child care services (certificates, tribally operated centers, grants/contracts, other). <b>Note: Large allocation grantees are required to offer certificates.</b> For more information, see 45 C.F.R. § 98.50(a), 98.83(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Certificate programs:</b> P&Ps for allowing parents to choose from a variety of child care categories, including center-based child care, family child care, and in-home care, and how parents are informed of the option to choose from the full range of providers. For more information, see 45 C.F.R. § 98.30(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Certificate programs:</b> P&Ps specifying limitations on the use of in-home care, if applicable. For more information, see 45 C.F.R. § 98.30(e).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Tribally operated center:</b> P&Ps regarding oversight and operation of center(s), including how the TLA pays facility costs, hires and manages staff, screens families for eligibility, purchases equipment and supplies; type of services offered; age groups served; and capacity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
<b>Grants and contracts:</b> P&Ps regarding the types of services available through grants and contracts and entities that receive contracts (e.g., Head Start, state prekindergarten, and child care providers).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Grants and contracts:</b> P&Ps for ensuring that parents are able to enroll their children with the providers of their choice who have grants/contracts to provide services, to the extent feasible. For more information, see 45 C.F.R. § 98.30(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Grants and contracts:</b> P&Ps regarding the negotiation of grants and contracts with selected providers.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Grants and contracts:</b> P&Ps regarding the process for accessing grants/contracts.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Grants and contracts:</b> P&Ps regarding the determination of rates for contracted slots.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Grants and contracts:</b> P&Ps specifying if and how the TLA uses grants and contracts to increase the supply or improve the quality of child care programs. For more information, see 45 C.F.R. § 98.16(x).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying whether direct child care services are available throughout the service area, and where direct services are or are not available.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 2. Assessing Child Care Market Rates and Setting Payment Rates for Services**

TLAs are exempt from the market rate survey or alternative methodology and associated requirements.

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the assessment of the cost of care or price of care within the service area (e.g., alternative methodology, state market rate survey, state alternative methodology, child care resource and referral data, tribal market rate survey). For more information, see 45 C.F.R. § 98.83 (d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the establishment and revision of payment rates. For more information, see 45 C.F.R. § 98.45(b), 98.81(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding variations in payment rates by location, provider, age of child, and quality level. For more information, see 45 C.F.R. § 98.45(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding base payment rates that enable providers to meet health, safety, quality, and staffing requirements under CCDF. For more information, see 45 C.F.R. § 98.45(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding base rates to support quality and meet the needs of the tribal communities served. For more information, see 45 C.F.R. § 98.45(b), 98.81(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
<p><b>Certificate programs:</b> P&amp;Ps specifying whether payment rates will be the same throughout all parts of the service area.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p><b>Certificate programs:</b> P&amp;Ps specifying types of tiered reimbursement or differential rates (e.g., for nontraditional hours, special needs, infants and toddlers, school-age programs, higher quality, other) and the process and basis used to determine rates, including how the rates are established and the rate amount. For more information, see 45 C.F.R. § 98.45(j).</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p><b>Certificate programs:</b> P&amp;Ps regarding the establishment of payment rates that are sufficient to ensure equal access, i.e., that children receiving CCDF subsidies have access to the same services (type of care quality) as children not receiving CCDF. For more information, see 45 C.F.R. § 98.45(a).</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p><b>TLAs providing services only through a tribally operated center and/or grants/contacts:</b> P&amp;Ps regarding the determination of the cost of care per child and the cost of providing services, and how the TLA uses this information to determine the amount of CCDF funds used to pay for care.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
<b>Tribally operated center:</b> P&Ps regarding how CCDF children are prioritized or have equal access based on the percentage of funding that is provided through CCDF.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 3. Payment Practices and Timeliness of Payments to Providers (Does Not Apply to TLAs That Provide Services Only through Tribally Operated Centers)**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the timeliness of payments to providers by either paying providers prior to the delivery of child care services or paying providers within no more than 21 calendar days of the time a complete invoice for services has been received from the provider. For more information, see 45 C.F.R. § 98.45(l).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding supporting the fixed costs of providing child care services by delinking provider payments from a child's occasional absences. For more information, see 45 C.F.R. § 98.45(l).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps specifying whether the TLA will pay on either a full-time or part-time basis, rather than paying hourly or for smaller increments of time (unless the TLA provides evidence that this payment practice is not generally accepted in its service area). For more information, see 45 C.F.R. § 98.45(l).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding TLA payment for reasonable mandatory registration fees that the provider charges to private paying parents unless the TLA provides evidence that this payment practice is not generally accepted in its service area. For more information, see 45 C.F.R. § 98.45(l).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the TLA's written payment agreement or authorization for services that includes information regarding payment policies, rates, schedules, fees, and dispute-resolution, and the process for ensuring that providers are paid in accordance with such agreement. For more information, see 45 C.F.R. § 98.45(l).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding prompt notice to providers regarding any changes to the family's eligibility status that could impact payments (no later than the day that the TLA becomes aware that the change will occur). For more information, see 45 C.F.R. § 98.45(l).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding appeal and resolution for payment inaccuracies and disputes, including how the process is conducted in a timely manner. For more information, see 45 C.F.R. § 98.45(l).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

## Checklist 6: Promote Family Engagement through Outreach and Consumer Education (Medium and Large Allocations)

**Table 1. Parental Complaint Process**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding a hotline or similar reporting process through which parents can submit complaints about child care providers. For more information, see 45 C.F.R. § 98.32(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding screening and substantiating and responding to complaints regarding CCDF providers, including whether the process includes monitoring. For more information, see 45 C.F.R. § 98.32(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the maintenance of a record of substantiated parental complaints. For more information, see 45 C.F.R. § 98.32(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps for making information about substantiated parental complaints available to the public. For more information, see 45 C.F.R. § 98.32(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 2. Consumer Education for Parents, Providers, and the Public**

AI/AN CCDF grantees are exempt from the requirement to have a consumer education website.

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the provision of TLA information that is consumer friendly and easily accessible. For more information, see 45 C.F.R. § 98.33(a), 98.83(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of information to parents, providers, and public on how the TLA approves child care providers, including the rationale for exempting certain providers from TLA standards. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of information to parents, providers, and public on how the TLA conducts monitoring and inspections of child care providers. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of information to parents, providers, and public on policies and procedures related to CBCs for staff members of child care providers and the offenses that prevent individuals from being employed by a CCDF provider or from receiving CCDF funds. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the provision of a list of all licensed providers. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying if and how the TLA provides a list of all providers eligible to deliver CCDF services, identified as either licensed or license exempt. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the identification and provision of quality information on each child care provider for which information is available. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of monitoring and inspection reports, in plain language and in a timely manner, for licensed and nonrelative providers that are eligible to provide CCDF services. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding provider appeals of findings in the monitoring and inspection reports that are made available.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the minimum number of years that monitoring reports are made available and the policy for removing reports (at least 3 years of reports should be provided, as available, going forward, beginning October 1, 2019.) For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the collection and provision of aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year, with information on serious injuries and death organized by category of care and licensing status for all eligible CCDF providers in the service area. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying a designated entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care, and how the TLA obtains data from the designated entity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the TLA’s definition of “substantiated child abuse.”	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying the TLA’s definition of “serious injury.”	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of information regarding referrals to local child care resource and referral organizations. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of information regarding how parents can contact the TLA, its designee, or other programs that can help the parent understand consumer information. For more information, see 45 C.F.R. § 98.33(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 3. Additional Consumer and Provider Education**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the provision of information to eligible parents, the general public, and child care providers (as applicable) about the availability of child care services through CCDF and other programs for which the family might be eligible, as well as the availability of financial assistance for child care. For more information, see 45 C.F.R. § 98.33(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding partnerships formed to make information about the availability of child care services available to families.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of information about programs and benefits to parents of eligible children, the general public, and child care providers (as applicable) that include the following: Temporary Assistance for Needy Families; Head Start/Early Head Start; Low Income Home Energy Assistance Program; Supplemental Nutrition Assistance Program; Special Supplemental Nutrition Program for Women, Infants, and Children; Child and Adult Care Food Program; Medicaid and Children’s Health Insurance Program; and programs under Individuals with Disabilities Education Act Part B, Section 619, and Part C. For more information, see 45 C.F.R. § 98.33(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the provision of information to parents, providers, and the general public on research and best practices concerning children’s development, including physical health and development and successful parent and family engagement. For more information, see 45 C.F.R. § 98.33(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of information to families, providers, and the general public on TLA policies regarding the social-emotional and behavioral intervention and support models based on research and best practices. For more information, see 45 C.F.R. § 98.33(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding prevention of suspension and expulsion of children from birth to age 5 in child care and other early childhood programs receiving CCDF funds, and how these policies are shared with families, providers, and the general public. For more information, see 45 C.F.R. § 98.33(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 4. Procedures for Providing Information on Developmental Screenings**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the collection and dissemination of information on existing resources and services available for conducting developmental screenings to CCDF parents, the general public, and child care providers (when applicable). For more information, see 45 C.F.R. § 98.33(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision to families and child care providers of information about and referrals to the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program, and developmental screening services available under Individuals with Disabilities Education Act Part B, Section 619, and Part C. For more information, see 45 C.F.R. § 98.33(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of information on developmental screenings as part of the intake process for parents receiving a subsidy. For more information, see 45 C.F.R. § 98.33(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the provision of information on how a family or eligible child care provider can obtain developmental screenings for children receiving assistance through CCDF who may be at risk for cognitive or other developmental delays. For more information, see 45 C.F.R. § 98.33(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding how child care providers receive information regarding developmental screenings, resources, and referrals through training and professional development. For more information, see 45 C.F.R. § 98.33(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

**Table 5. Consumer Statement for Parents Receiving CCDF Funds**

Topic	Needs P&Ps	P&Ps Need Revision	Included in Existing P&Ps	P&Ps Need a Form	N/A	Notes
P&Ps regarding the provision of a consumer statement to parents receiving CCDF funds that contains information about the child care provider they select, information on how CCDF subsidies are designed to support equal access, how to submit a complaint, and how to contact local child care resource and referral agencies or other community-based organizations that help parents find quality child care. For more information, see 45 C.F.R. § 98.33(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps specifying information included in the consumer statement. For more information, see 45 C.F.R. § 98.33(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
P&Ps regarding the method for providing parents receiving CCDF funds with a consumer statement, in hard copy or electronically. For more information, see 45 C.F.R. § 98.33(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

*The National Center on Tribal Early Childhood Development is funded by the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Child Care.*

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