



National Center on Tribal Early Childhood Development

Developing Written Policies and Procedures for the Child Care and Development Fund (CCDF) Program

**Preconference Webinar for the Office of Child
Care's 2018 AI/AN Regional Conferences**



Welcome



Office of Child Care

An Office of the Administration for Children & Families

Objectives

- ◆ Provide an introduction to written policies and procedures for American Indian and Alaska Native (AI/AN) CCDF programs
- ◆ Discuss the relationship between CCDF laws and regulations, policies and procedures, and the overall tribal system
- ◆ Offer initial considerations for planning and writing CCDF policies and procedures
- ◆ Share key preconference information regarding the upcoming Dallas Regional Conference



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Introduction to Written CCDF Policies and Procedures



Requirements

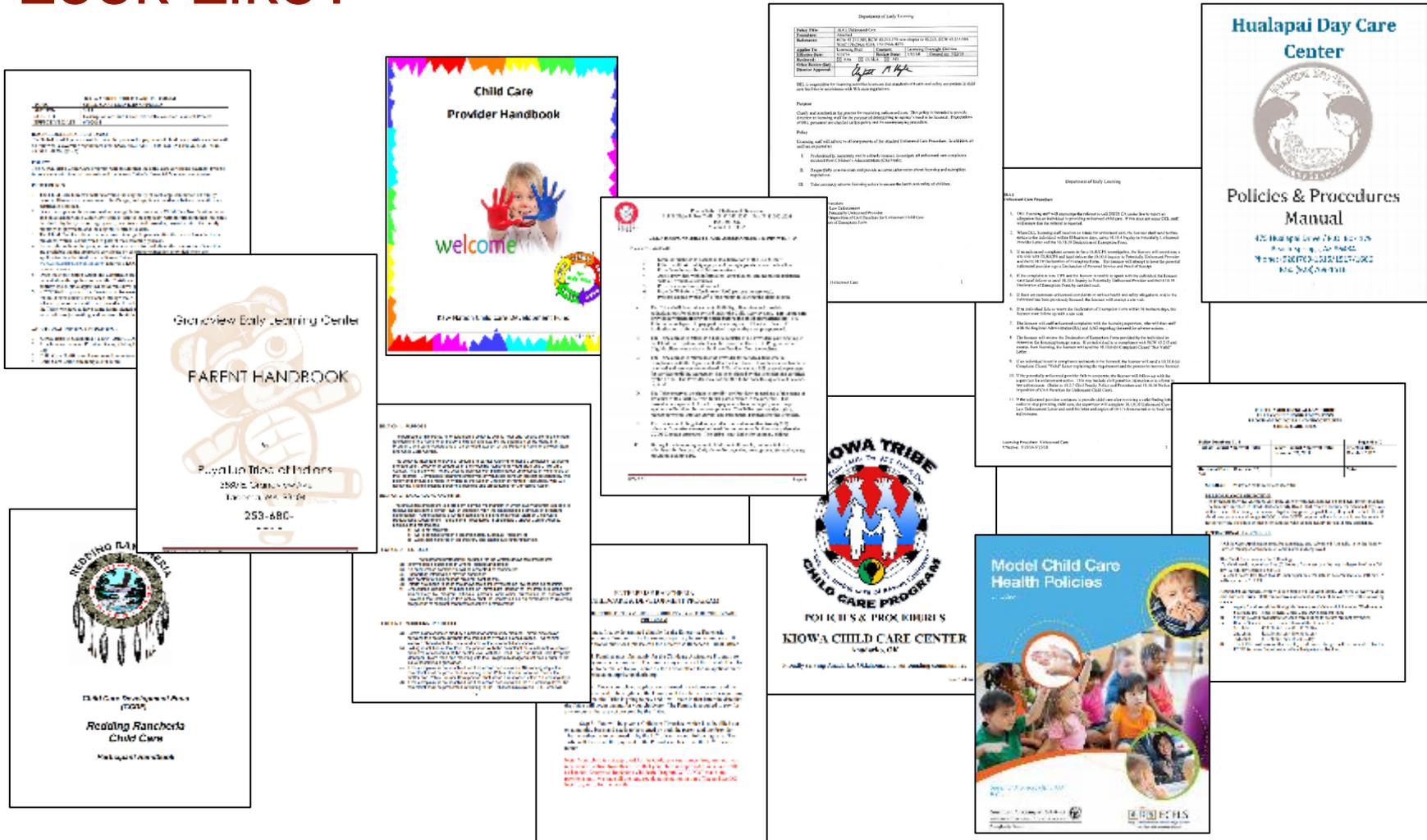
- ◆ Tribal Lead Agencies (TLAs) are responsible for having policies and procedures in place to monitor programs and services, ensure compliance with CCDF requirements, and provide oversight in the expenditure of all funds.



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 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

What do Written Policies and Procedures Look Like?



Activity: What is the Difference Between a Policy and a Procedure?



Policies versus Procedures

- ◆ **Policies** are the statements, rules, and definitions that guide the Lead Agency 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

Policy

- ◆ On years that the CCDF plan is due, the tribal Lead Agency will ensure that at least one public hearing on the CCDF plan is hosted within the service area, in order to provide the public with an opportunity to comment on the child care services outlined in the plan. The public hearing will be conducted between January 1 and July 1.

What is to be done and when it applies

Procedure:

- ◆ The Child Care Director will ensure that the contents of the CCDF plan are available across the service area before the public hearing. The plan will be made available through CCDF program sites, tribal offices, the tribal website, and tribal email listservs.
- ◆ The Child Care Director will ensure that public notice regarding the public hearing(s) is given at least 20 days prior to the hearing. Notice of the public hearing will be provided throughout the service area, through newsletters to parents, tribal and local media outlets, postings on community bulletin boards, and community partner listservs.
- ◆ The Child Care Director will analyze all sources of input and update the CCDF plan as needed, ensuring that public input is reflected in the plan prior to final submission.

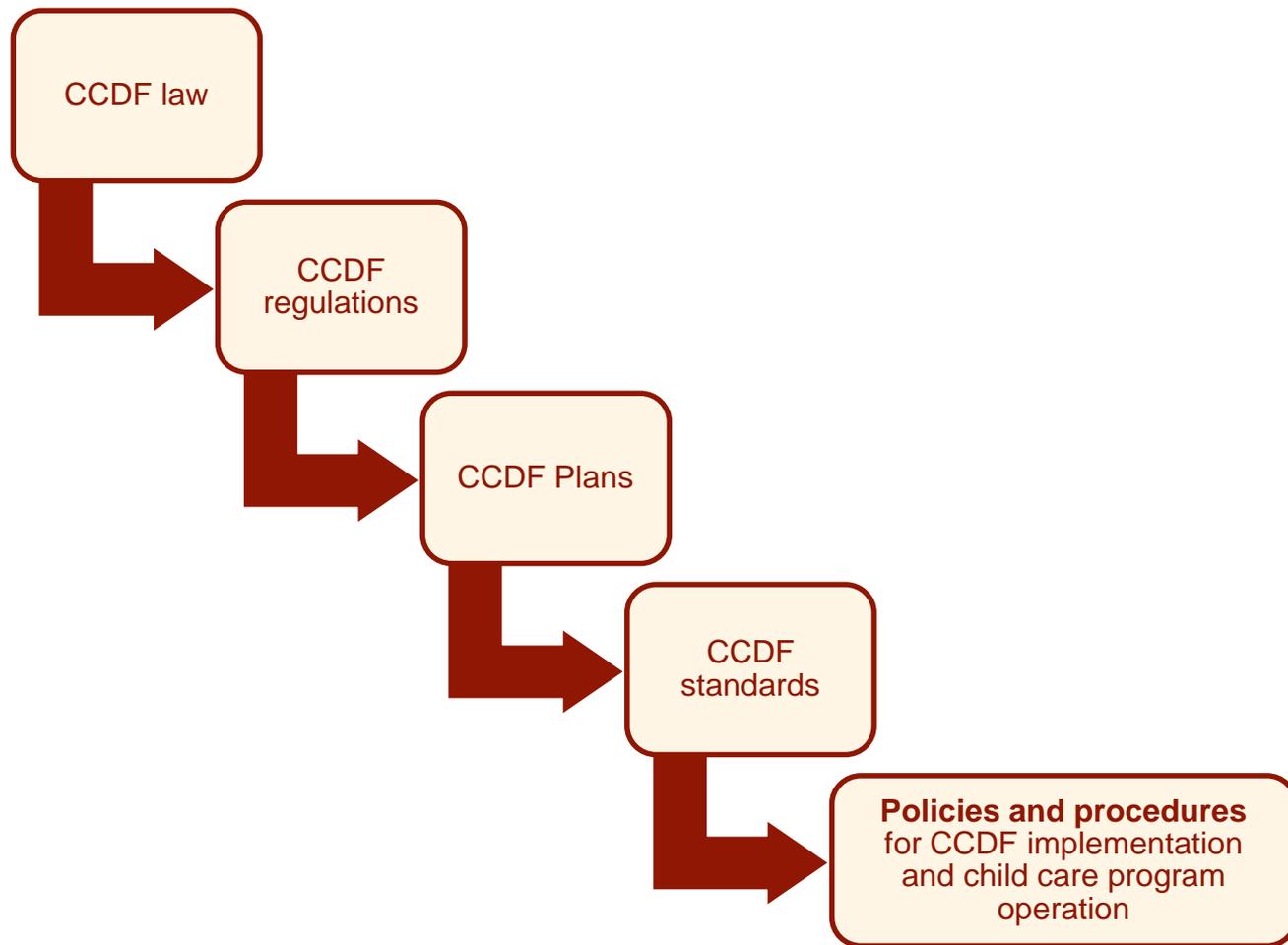
Steps required; who is responsible; when, where, and how each step will be completed



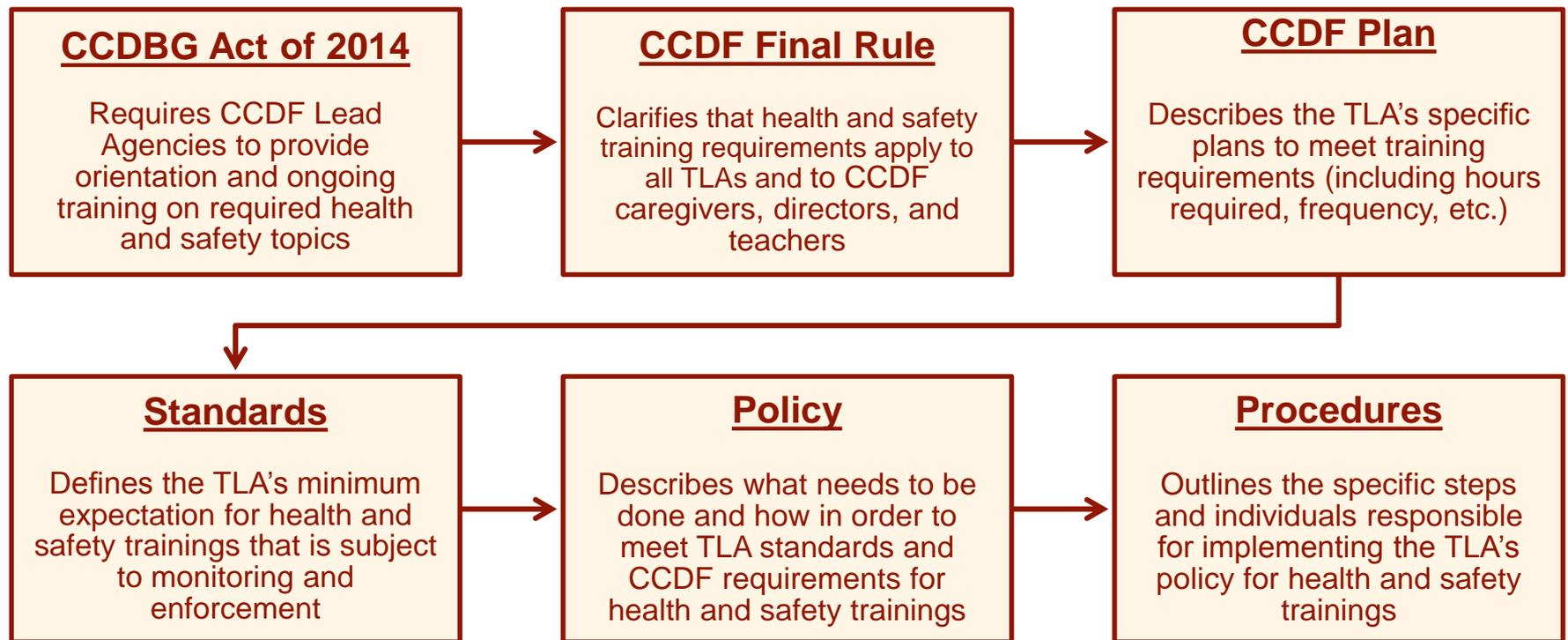
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Aligning Policies and Procedures

Policies and Procedures

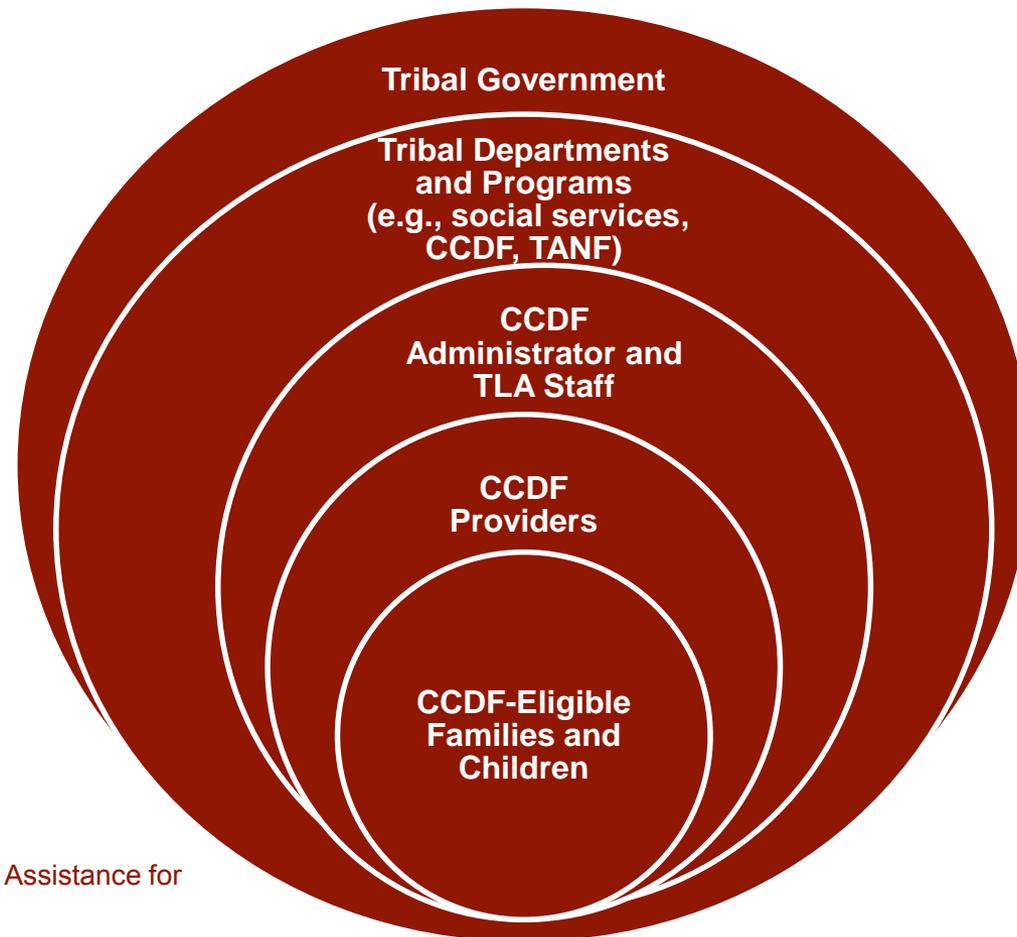


Example: Health and Safety Training



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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Considerations for Planning and Writing



Poll Question: Where are You with Developing Your Policies and Procedures?



Poll Question: Where are You in the Process of Aligning Your Policies and Procedures to the CCDF Final Rule?





Types of Policies and Procedures Documents

- ◆ Administrative policies and procedures
- ◆ Family and participant handbooks
- ◆ Provider handbooks
- ◆ Provider templates
- ◆ Forms

Audience

- ◆ Who will read what you write?
- ◆ How much information does the reader need?
- ◆ What obstacles might you have?
- ◆ How will the reader use the document?
- ◆ What members of your audience might also be included in the development?



Components to Consider

- ◆ Guiding principles
- ◆ Policy and procedure format
 - The policy statement
 - Definitions
 - Procedures
 - Supporting documentation
 - Accountability

Example

- ◆ 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	
Additional Information	

Getting Started

- ◆ Gather all existing policies and procedures and related resources
- ◆ Review for alignment with CCDF final rule requirements
- ◆ Identify gaps and areas where revisions are needed
- ◆ Make a plan for writing or updating your program policies and procedures
- ◆ Have staff (and parents, if possible) discuss and prioritize topics

Start Writing

- ◆ Use your program's mission statement or brief program history as an introduction.
- ◆ Consider following the CCDF Plan Preprint or referencing plan sections.
- ◆ Describe procedures completely and in sequence.
- ◆ Don't omit a step because it seems too basic.
- ◆ List the effective date on the approved document.



Helpful Hints for Writing

- ◆ Keep it simple – make sure wording is clear and unambiguous.
- ◆ Make sure policies and procedures are family friendly and provider friendly.
- ◆ Define acronyms or don't use them.
- ◆ Keep your language specific enough so that goals are met, but general enough so that changes aren't needed every time a new circumstance arises.

Remember

- ◆ Policies and procedures should be feasible for the program.
- ◆ The program should have the necessary resources to enforce the developed policies and procedures.
- ◆ A program's liability can increase if you develop written policies but don't follow them, or if policies are poorly written.



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Preconference Information

Conference Vision

- ◆ The vision of the Office of Child Care's 2018 American Indian and Alaska Native Regional Conferences is to bring together AI/AN CCDF grantees, Office of Child Care staff, and technical assistance providers in order to share strategies, ideas, and promising practices regarding planning for the increase in discretionary funding as well as the full implementation of the CCDF final rule including the major provisions of health and safety, quality, subsidy administration, CCDF administration, and coordination.

Session Tracks

- ◆ Health and safety
- ◆ Quality
- ◆ Subsidy





Policies and Procedures Sessions

- ◆ *Developing Policies and Procedures for Subsidy Eligibility and Equal Access*
- ◆ *Developing Policies and Procedures for Improving Quality*
- ◆ *Developing Policies and Procedures for Health and Safety Requirements*

Policies and Procedures for Health and Safety

- ◆ Implementation of health and safety standards
- ◆ Monitoring and enforcement
- ◆ Health and safety training
- ◆ Criminal background checks





Policies and Procedures for Quality Improvement

- ◆ Assessment of needs
- ◆ Setting quality improvement goals
- ◆ Determining quality activities
- ◆ Evaluation of progress and effectiveness
- ◆ Quality spending, tracking, and reporting

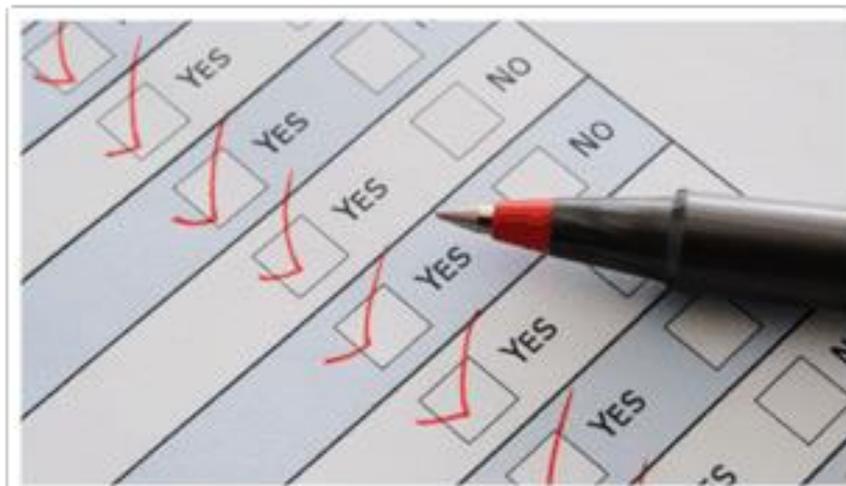
Policies and Procedures for Subsidy Administration

- ◆ Program options (such as certificates and vouchers, tribally operated center, grants and contracts)
- ◆ Eligibility definitions
- ◆ Application and eligibility determination and redetermination process
- ◆ Provider payment rates
- ◆ Copayment rates
- ◆ Payment practices and processes



Preparing for the Policies and Procedures Sessions

- ◆ Familiarize yourself with the CCDF final rule
- ◆ Review your current policies and procedures
- ◆ Bring your current policies and procedures with you



Questions and Answers





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