



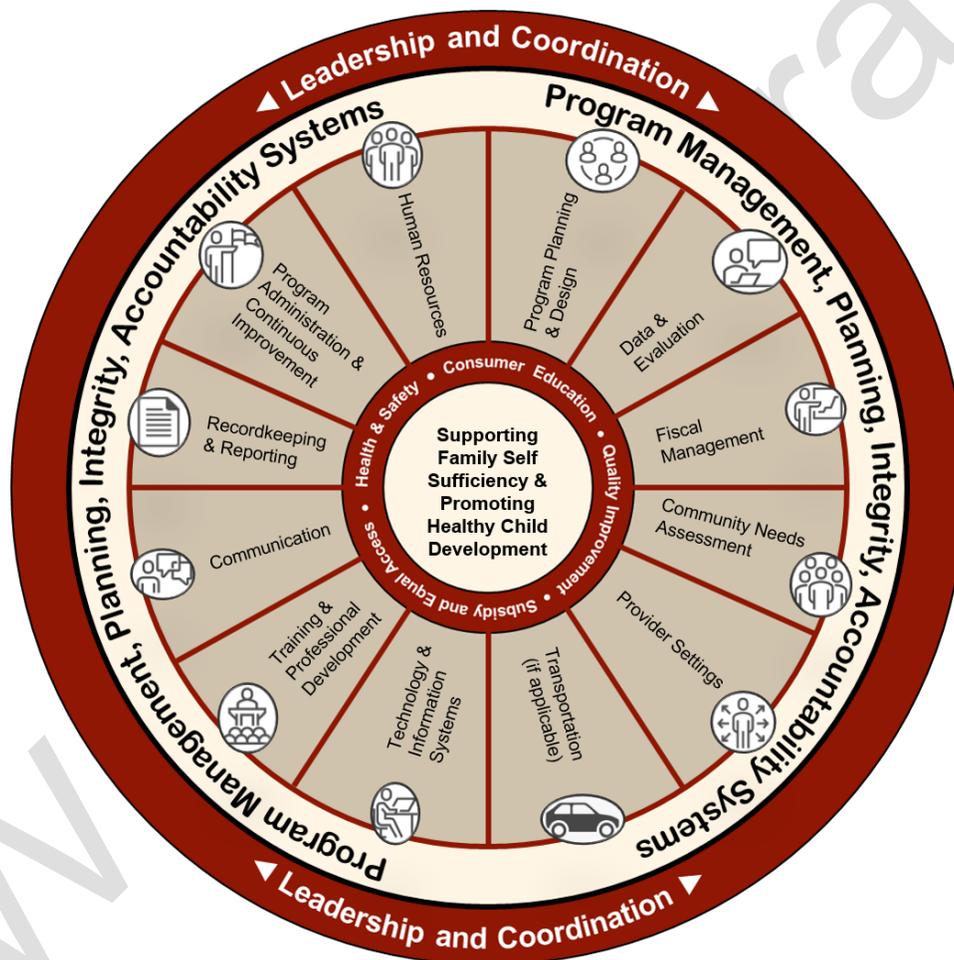
# TRIBAL MANAGEMENT INSTITUTE

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Kansas City Marriott Downtown  
Kansas City, MO



## Proposed Tribal Child Care Management Systems Framework: Summary

The proposed Tribal Child Care Management Systems Framework is a visual representation of the various management systems that are part of effective Child Care and Development Fund (CCDF) program administration. Each component of the framework represents a management system that contributes to successful administration of the CCDF program. These systems work together to support implementation of the CCDF final rule requirements and high-quality service delivery that meets the needs of American Indian and Alaska Native (AI/AN) children and families.



Adapted from National Center on Program Management and Fiscal Operations. (n.d.). Head Start management systems wheel. Washington, DC: Office of Head Start. Retrieved from <https://eclkc.ohs.acf.hhs.gov/organizational-leadership/article/management-systems>



## Background

The proposed Tribal Child Care Management Systems Framework is an adaptation of the Head Start Management Systems Wheel, developed by the Office of Head Start's National Center on Program Management and Fiscal Operations (PMFO). The Head Start Management Systems Wheel depicts the 12 program management, planning, and oversight systems that are critical to sound program infrastructure and high-quality service delivery in Head Start programs<sup>1</sup>.

Through a collaboration with PMFO, the Office of Child Care's (OCC) National Center on Tribal Early Childhood Development (NCTECD) began adapting the Head Start Management Systems Wheel for Tribal CCDF Lead Agencies as part of the OCC's Peer Learning and Leadership Network (PLLN) Fellows Program. The PLLN is an intentional effort to support the professional development of emerging leaders within AI/AN CCDF and early childhood programs.

The proposed Tribal Child Care Management Systems Framework was tailored to represent the various management systems that work together to support effective program administration within the context of AI/AN CCDF programs. This adaptation was piloted with Cohort 3 of the PLLN in 2018.

## Proposed Tribal Child Care Management Systems Framework Components

The proposed framework includes the following management systems that are part of effective CCDF program administration:

- ◆ **Leadership and Coordination (outer ring):** This system includes CCDF program management, the designated Tribal Lead Agency, and the administrative structure of the program within the Tribal nation or consortium.<sup>2</sup> It involves consultation with representatives of the Tribal government, consortium, and the Tribal community in the development of the Tribal CCDF Plan, as well as coordination with other entities (such as other Tribal programs and community partners) to develop and deliver CCDF services. The leadership and coordination system supports the implementation of each framework component and determines how effectively the systems work together.
- ◆ **Program Management, Planning, Integrity, and Accountability Systems (second ring):** Like leadership and coordination, the second ring of CCDF program management, planning, integrity, and accountability encompasses all 12 management systems. The CCDF Administrator ensures compliance with applicable regulations and provides oversight of the expenditure of all funds, including identifying improper payments and fraud prevention and recovery. The CCDF Administrator is also responsible for ensuring that policies and procedures are in place to monitor programs and services to ensure compliance with CCDF federal regulations.
- ◆ **Program Planning and Design (third ring):** This system involves planning, developing, and designing the CCDF program so that AI/AN children, families, and communities receive high-quality services that meet their unique needs. CCDF planning and design also includes preparing the CCDF

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<sup>1</sup> National Center on Program Management and Fiscal Operations. (n.d.). Head Start management systems wheel. Washington, DC: Office of Head Start. Retrieved from <https://eclkc.ohs.acf.hhs.gov/organizational-leadership/article/management-systems>

<sup>2</sup> In order to be eligible to apply for CCDF funds, Tribes must be federally recognized and the Tribal population must include at least 50 children under age 13 living on or near the reservation or service area (the reservation requirement does not apply to Tribes in Alaska, California, and Oklahoma). A Tribe with fewer than 50 children under age 13 may participate in a consortium of eligible Tribes.



Plan, developing agreements with agencies to carry out program activities, and providing information about the program to the public, including through public hearings.

- ◆ **Data and Evaluation (third ring):** This system involves data collection and analysis, as well as data management, integrity, security, and confidentiality considerations. Through the data and evaluation system, the Tribal Lead Agency can implement data collection and analysis activities that inform the way that CCDF services are delivered to meet the needs of AI/AN children and families.
- ◆ **Fiscal Management (third ring):** This system involves ensuring that effective processes and internal controls are in place to maintain integrity and accountability for federal assets. This includes processes to ensure sound CCDF fiscal management and identify areas of risk and fraud prevention. The CCDF Administrator also ensures that systems are in place to meet CCDF audit and financial reporting requirements, including internal controls needed to produce clean audits and ensure that CCDF funds are obligated and liquidated in accordance with the CCDF final rule<sup>3</sup>.
- ◆ **Community Needs Assessment (third ring):** This system involves the ways in which the Tribal Lead Agency determines the Tribal community's child care needs. The community needs assessment process, which is guided by the CCDF Administrator, provides information that can be used to inform CCDF program planning and decision-making.
- ◆ **Provider Settings (third ring):** The provider settings system includes the ways in which the Tribal Lead Agency delivers direct CCDF services and ensures that child care settings provide healthy, safe, and developmentally appropriate learning environments that meet CCDF final rule requirements.
- ◆ **Transportation (if applicable) (third ring):** This system involves the steps taken by Tribal Lead Agencies to ensure that children are transported safely and efficiently. It involves standards, training, monitoring, and enforcement of transportation requirements. *Note: This system applies only if the Tribal Lead Agency has providers or tribally operated centers that have chosen to provide transportation to children in care.*
- ◆ **Technology and Information Systems (third ring):** This system includes the ways the Tribal Lead Agency uses technology and information systems to support effective administration of the CCDF program. The CCDF Administrator should consider whether there are adequate technology supports to track, collect, archive, and report on data collected within the CCDF program.
- ◆ **Training and Professional Development (third ring):** This system involves establishing orientation or pre-service training and ongoing training and professional development for caregivers, teachers, and directors according to CCDF final rule requirements. It involves a coordinated training and professional development approach that meets the needs of staff and enables them to move the CCDF program from compliance to excellence.
- ◆ **Communication (third ring):** The communication system involves the ways in which the CCDF Administrator communicates effectively with both internal and external stakeholders. This system includes building partnerships through cooperation, coordination, and collaboration; working with

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<sup>3</sup> Obligate means to commit CCDF funds (e.g., through a legally binding agreement, purchase order, contract, or subgrant) and liquidate means to expend CCDF funds (i.e., the payment of funds to a third party as a result of an obligation). CCDF Lead Agencies have two fiscal years to obligate, and an additional year to liquidate, funds awarded each fiscal year. The obligation and liquidation timeframes begin on October 1.



Tribal leaders; and effectively engaging internal and external stakeholders. The communication activities of the CCDF Administrator connect all management systems together.

- ◆ **Record Keeping and Reporting (third ring):** This system involves how the CCDF Administrator ensures that the CCDF program effectively maintains all applicable program records to help build and maintain the program's institutional memory. This work also includes strict confidentiality safeguards that are in place at all times. The CCDF Administrator uses record-keeping, tracking, and reporting systems to meet CCDF reporting requirements; including, the ACF-700 and ACF-696T reports.
- ◆ **Program Administration and Continuous Improvement (third ring):** Tribal Lead Agencies have their own processes for program administration and continuous improvement activities that support program integrity, internal controls, and accountability. The CCDF Administrator can also implement a model of continuous quality improvement as a way to support CCDF planning and implementation efforts that result in effectively improving the quality of child care for children and families served.
- ◆ **Human Resources (third ring):** This system involves how the CCDF Administrator maintains effective human resources practices and processes. Through this system, the Tribal Lead Agency's organizational structure can support staff and providers as they implement high-quality services. The CCDF Administrator can engage in effective coordination and communication with Tribal human resources departments to ensure that efficient processes are in place.
- ◆ **Major Provisions of the CCDF Final Rule (fourth ring):** This system focuses on the implementation of activities directly related to compliance with the four major provisions of the 2016 CCDF final rule: health and safety; consumer education; quality improvement; and subsidy eligibility and equal access. Tribal Lead Agencies will demonstrate compliance with the CCDF final rule through the development, submission, and implementation of the triennial CCDF Plan, including the consolidated Public Law 102-477 Plan<sup>4</sup>. All of the management systems work together to support implementation of the CCDF final rule requirements.
- ◆ **Goals of CCDF (fifth and innermost ring):** This system represents the Tribal Lead Agency's goals for their CCDF program and the children and families they serve. The ultimate purposes of CCDF are the dual goals of supporting family self-sufficiency and promoting healthy child development. The final rule balances these CCDF dual goals, while providing flexibility for Tribal nations. Tribal Lead Agencies can develop and implement CCDF programs that meet the needs of the children and families served in their Tribal communities.

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<sup>4</sup> For Tribal Lead Agencies, OCC will determine compliance with the CCDF final rule through review and approval of the Fiscal Year 2020–2022 CCDF Plans that become effective October 1, 2019. Tribes with an approved Public Law (P.L.) 102-477 Plan are not required to submit the triennial CCDF Plan. For Tribes with current P.L. 102-477 Plans, compliance with the CCDF final rule will be determined based on the Tribe's next P.L. 102-477 Plan submission with an effective date of October 1, 2019 or later.