

# Roadmap to Reauthorization Self-Assessment Tool for Medium- and Large-Allocation AI/AN CCDF Grantees

## Overview

This tool was designed to provide American Indian and Alaska Native (AI/AN) Child Care and Development Fund (CCDF) grantees with **medium allocations** (between \$250,000 and \$1 million in CCDF funds) and **large allocations** (more than \$1 million in CCDF funds) with a way to assess their readiness to meet the requirements of the CCDF final rule and create implementation plans based on their assessments.

## Background

### CCDF Reauthorization and the CCDF Final Rule

In November 2014, the Child Care and Development Block Grant (CCDBG) Act of 2014 was signed into law. The CCDBG Act, also known as “CCDF reauthorization,” reauthorized the CCDF program and introduced legal changes to strengthen the health, safety, and quality of child care and provide more stable child care assistance to families.

Following the enactment of the CCDBG Act of 2014, the Administration for Children and Families (ACF) held a series of tribal consultations and published a Notice of Proposed Rule Making (NPRM) to gather input regarding new CCDF regulations and their implications for AI/AN CCDF grantees and the children and families they serve. The NPRM informed the development of the 2016 CCDF final rule, which outlines regulations for implementing the CCDBG Act of 2014 and administering the CCDF program. The regulations in the final rule fall into four major categories:

- ◆ Protect the health and safety of children in child care
- ◆ Help parents make informed consumer choices
- ◆ Provide equal access to stable child care for low-income children
- ◆ Enhance the quality of child care

### CCDF Final Rule for AI/AN CCDF Grantees

#### Tiered Requirements

The final rule outlines how the CCDF regulations apply to AI/AN grantees. The regulations were designed to provide flexibility for AI/AN CCDF grantees in meeting the needs of their communities in a manner consistent with the CCDF goals of promoting families’ financial stability and fostering healthy child development. To account for variations in funding, the CCDF final rule established three categories of AI/AN CCDF grantees and created tiered

requirements to provide greater flexibility to grantees with lower levels of funding. These categories are based on CCDF funding amount, referred to as “allocation size” (table 1).

**Table 1. Allocation Sizes for AI/AN CCDF Grantees**

Allocation Size	Funding Amount
Small allocation	Less than \$250,000
Medium allocation	Between \$250,000 and \$1 million
Large allocation	More than \$1 million

## Compliance Date

For tribal Lead Agencies, ACF will determine compliance with the CCDF final rule through review and approval of the FY 2020–2022 CCDF Plans that become effective October 1, 2019.

## About This Tool

This tool was designed to provide AI/AN CCDF grantees with medium and large allocations with a way to assess and track their readiness to meet the requirements of the CCDF final rule. It also includes an implementation planning form to help grantees develop plans to meet the requirements, including next steps, timelines, resources, and technical assistance requests.

This tool is divided into four sections, which are based on the four major sections of the CCDF final rule:

1. [Protect the health and safety of children in child care](#)
2. [Help parents make informed consumer choices](#)
3. [Provide equal access to stable child care for low-income children](#)
4. [Enhance the quality of child care](#)

The requirements presented in the tool are drawn directly from the CCDF regulations, which are found in the [U.S. Code of Federal Regulations at 45 C.F.R. § 98 \(2016\)](#). Minor revisions have been made to the original text to provide context and enhance readability. The citation at the beginning of each table provides detailed information on the subsection where the requirements in that table can be found.

## Self-Assessment Tool

Please fill out the information below.

Grantee name:

Completed by (name):

Date:

## Instructions

For each section, review the relevant CCDF final rule requirements. You can choose to complete the entire tool or focus on certain sections based on the needs and priorities of your program. Consider your program's standards, policies, procedures, and practices related to each standard and use the self-assessment to mark which implementation stage<sup>1</sup> your program is in:

1. **No action:** Your program has not considered this requirement yet.
2. **Exploring:** Your program is aware of this requirement, but has not taken action yet. You are assessing your readiness to address the requirement or are thinking about how to approach it.
3. **Developing:** Your program has started making arrangements and preparing for this requirement by acquiring the resources (for example, staff, training, written plans, etc.) you need to move forward.
4. **Initial implementation:** Your program has started to address the requirement. You are assessing your approach and identifying and implementing strategies for improvement. Staff are trying to make necessary changes and follow new requirements. Your program might meet some of the components of the requirement, but not all.
5. **Full implementation:** Your program meets all components in this requirement. All components are embedded in your program's policies, procedures, and practices. Systems are in place for monitoring, training, and communicating in regard to this standard. Staff are consistently implementing the requirement and adhering to established policies, procedures, and practices. The requirement is part of your ongoing program and staff operations and is updated regularly to ensure best practices.

The notes sections can be used to provide additional detail about your implementation stage, track follow-up items, document questions, or make note of the specific regulations you would like to focus on in your action plans.

As you complete the self-assessment, consider which CCDF final rule requirements are priorities for your program and identify the areas for which you would like to create an implementation plan. The accompanying implementation planning tool can be used to create a plan for your program, outlining your next steps toward meeting the final rule requirements.

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<sup>1</sup> Adapted from Fixsen, D. L., Blase, K. A., Naoom, S. F., & Van Dyke, M. (2010). *Stage-based measures of implementation components*. Chapel Hill, NC: Authors & National Implementation Research Network.

# Section I. Protect the Health and Safety of Children in Child Care

Please fill out the information below.

Grantee name:

Completed by (name):

Date:

Implementation Stage Key				
N = No action	E = Exploring	D = Developing	I = Initial implementation	F = Full implementation

## 45 C.F.R. § 98.41. Health and safety requirements

Regulation	Implementation Stage				
Tribal Lead Agencies shall have requirements (appropriate to provider setting and age of children served) that are designed, implemented, and enforced regarding the 11 health and safety topics below. These requirements should be subject to monitoring.	N	E	D	I	F
	<input type="checkbox"/>				
<b>Topic 1: Prevention and control of infectious diseases (including immunizations)</b>					
◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.	N	E	D	I	F
	<input type="checkbox"/>				
◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.	N	E	D	I	F
	<input type="checkbox"/>				
◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.	N	E	D	I	F
	<input type="checkbox"/>				
◆ With respect to immunizations, Tribal Lead Agencies shall assure that children receiving services under the CCDF are age-appropriately immunized. Health and safety provisions shall incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the respective state, territorial, or tribal public health agency.	N	E	D	I	F
	<input type="checkbox"/>				
<b>Note:</b> Tribal Lead Agencies may exempt children who are cared for by relatives (provided there are no other unrelated children who are cared for in the same setting), children who receive care in their own homes (provided there are no other unrelated children who are cared for in the home), children whose parents object to immunization on religious grounds, and children whose medical condition contraindicates immunization.					

Regulation	Implementation Stage				
<p>◆ Tribal Lead Agencies shall establish a grace period that allows children experiencing homelessness and children in foster care to receive CCDF services while providing their families (including foster families) a reasonable amount of time to take any necessary action to comply with immunization and other health and safety requirements. The length of this grace period shall be established in consultation with the state, territorial, or tribal health agency. Lead Agencies must coordinate with relevant local agencies to provide referrals and support to help families of children receiving services during this grace period comply with immunization and other health and safety requirements. The Lead Agency may also, at its option, establish grace periods for other children who are not experiencing homelessness or in foster care.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<b>Topic 2: Prevention of sudden infant death syndrome and use of safe sleeping practices</b>					
<p>◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<b>Topic 3: Administration of medication, consistent with standards for parental consent</b>					
<p>◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<b>Topic 4: Prevention of and response to emergencies due to food and allergic reactions</b>					
<p>◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<b>Topic 5: Building and physical premises safety, including identification of and protection from hazards, bodies of water, and vehicular traffic</b>					
<p>◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.</p>	N	E	D	I	F
	<input type="checkbox"/>				

Regulation	Implementation Stage				
<b>Topic 6: Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment</b>					
◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<b>Topic 7: Emergency preparedness and response planning</b> Includes emergencies resulting from a natural disaster, or a man-caused event (such as violence at a child care facility); requirements shall include procedures for evacuation, relocation, shelter-in-place, and lockdown; 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.					
◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<b>Topic 8: Handling and storage of hazardous materials and the appropriate disposal of biocontaminants</b>					
◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<b>Topic 9: Appropriate precautions in transporting children (if applicable)</b>					
◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<b>Topic 10: Pediatric first aid and cardiopulmonary resuscitation</b>					
◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>

Regulation	Implementation Stage				
<b>Topic 11: Recognition and reporting of child abuse and neglect</b>					
◆ <b>Requirements:</b> Requirements for this topic are designed, implemented, and enforced.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Monitoring:</b> Requirements for this topic are subject to monitoring.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
◆ <b>Training:</b> Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<b>Optional:</b> Tribal Lead Agencies may establish, implement, and enforce requirements related to nutrition (including age-appropriate feeding).	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<b>Optional:</b> Tribal Lead Agencies may establish, implement, and enforce requirements related to access to physical activity.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<b>Optional:</b> Tribal Lead Agencies may establish, implement, and enforce requirements related to caring for children with special needs.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<b>Optional:</b> Tribal Lead Agencies may establish, implement, and enforce requirements related to any other subject area it determines necessary to promote child development or to protect children’s health and safety.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies shall describe in the CCDF Plan standards for child care services for which CCDF assistance is provided that address group size limits for specific age populations, the appropriate ratio between the number of children and the number of caregivers, in terms of age of children in child care, and required qualifications for caregivers in child care settings.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>

**Notes:**

**45 C.F.R. § 98.42. Enforcement of licensing and health and safety requirements**

Regulation	Implementation Stage				
Tribal Lead Agencies shall certify in their CCDF Plans that procedures are in effect to ensure that CCDF child care providers within the area served by the Lead Agency comply with all applicable state, local, or tribal health and safety requirements.	N	E	D	I	F
	<input type="checkbox"/>				
Tribal Lead Agencies shall certify in the CCDF Plan that they have monitoring policies and practices for all child care providers and facilities eligible to deliver services for which assistance is provided.	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding monitoring of child care providers and facilities:</p> <ul style="list-style-type: none"> <li>◆ The provision to require inspections of child care providers and facilities, as follows:                             <ul style="list-style-type: none"> <li>■ For licensed* child care providers and facilities: 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 and safety, and fire standards</li> <li>■ For license-exempt child care providers and facilities that are eligible to provide services: an annual inspection for compliance with health and safety and fire standards</li> </ul> </li> <li>◆ <b>Or</b> a Tribal Lead Agency may describe an alternative monitoring approach in its CCDF Plan and provide adequate justification for the approach.</li> </ul>	N	E	D	I	F
	<input type="checkbox"/>				
Lead Agencies shall require child care providers to report to a designated state, territorial, or tribal entity any serious injuries or deaths of children occurring in child care	N	E	D	I	F
	<input type="checkbox"/>				

\* AI/AN CCDF grantees are exempt from the requirement to have licensing applicable to child care services.

**Notes:**

**45 C.F.R. §98.43. Criminal background checks**

Regulation	Implementation Stage				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background check:</p> <p>◆ Tribal Lead Agencies are subject to the requirements to conduct comprehensive criminal background checks for child care staff members* (including prospective child care staff members) of all licensed, regulated, or registered child care providers and all child care providers** eligible to deliver services for which CCDF assistance is provided. This comprehensive background check includes the following:</p> <ul style="list-style-type: none"> <li>■ A Federal Bureau of Investigation (FBI) fingerprint check using Next Generation Identification.</li> <li>■ A search of the National Crime Information Center’s National Sex Offender Registry.</li> <li>■ A search of the following registries, repositories, or databases in the State where the child care staff member resides and each State where such staff member resided during the preceding 5 years:                             <ul style="list-style-type: none"> <li>● State criminal registry or repository, with the use of fingerprints being required in the State where the staff member resides and optional in other States</li> <li>● State sex offender registry or repository</li> <li>● State-based child abuse and neglect registry and database</li> </ul> </li> </ul> <p>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:</p> <p>◆ A child care staff member shall be ineligible for employment by CCDF child care providers if he or she refuses to consent to the criminal background check, knowingly makes a materially false statement in connection with such criminal background check, is registered or is required to be registered on a state sex offender registry or repository or the National Sex Offender Registry, or has been convicted of a felony. Felonies include murder; child abuse or neglect; a crime against children (including child pornography); spousal abuse; a crime involving rape or sexual assault, kidnapping, arson, physical assault, or battery; a drug-related offense committed during the last 5 years; and a violent misdemeanor committed as an adult against a child.</p> <p>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. The Office of Child Care may grant flexibility to AI/AN CCDF grantees regarding disqualifying crimes, but will not approve any alternative approaches that request flexibility regarding violent crimes or crimes committed against children.</p>	N	E	D	I	F
	<input type="checkbox"/>				

Regulation	Implementation Stage				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> <li>◆ A child care provider shall be ineligible for CCDF assistance if the provider employs a staff member who is ineligible for employment due to the criminal background check provisions.</li> <li>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</li> </ul>	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> <li>◆ A child care provider shall submit a request for a criminal background check for each child care staff member, including prospective child care staff members, of the provider prior to the date that the individual becomes a staff member and at least once every 5 years of the individual’s employment.                             <ul style="list-style-type: none"> <li>■ <b>Note:</b> A background check is not required if an individual received a background check and received a qualifying result within the past 5 years while he or she was employed by or seeking employment from another child care provider. The individual must still be employed by a CCDF provider or have been employed by a CCDF provider within the last 180 consecutive days.</li> </ul> </li> <li>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</li> </ul>	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> <li>◆ A prospective staff member may begin work for a child care provider after the FBI fingerprint check or the search of the state criminal registry or repository, with the use of fingerprints. Pending completion of all background check components described above, the staff member must be supervised at all times by an individual who received a qualifying result on a background check within the past 5 years.</li> <li>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</li> </ul>	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> <li>◆ The State, Territory, or Tribe shall carry out child care providers’ criminal background check requests as quickly as possible, and no longer than 45 days after a provider submits a request. Results shall be provided within this timeframe to the requesting provider and staff member.</li> <li>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</li> </ul>	N	E	D	I	F
	<input type="checkbox"/>				

Regulation	Implementation Stage				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> <li>◆ To ensure privacy of background check results, the results provided to the provider shall indicate whether or not an individual is eligible or ineligible for employment without revealing any disqualifying crime or other related information regarding the individual.</li> <li>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</li> </ul>	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> <li>◆ If an individual is ineligible for employment due to the background check results, the State, Territory, or Tribe will provide the results of the background check to the individual and include information related to each disqualifying crime, along with information on the opportunity to appeal.</li> <li>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</li> </ul>	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> <li>◆ States, Territories, and Tribes must provide for a process by which a child care staff member (including a prospective child care staff member) may appeal the results of a criminal background check conducted under this section to challenge the accuracy or completeness of the information contained in such member's criminal background report. Individuals must be informed of the opportunity to appeal and given clear instructions regarding how to complete the process.</li> <li>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</li> </ul>	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> <li>◆ The results of individual background checks shall not be released or shared publically.</li> <li>◆ <b>Or</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</li> </ul>	N	E	D	I	F
	<input type="checkbox"/>				

Regulation	Implementation Stage				
	N	E	D	I	F
Tribal Lead Agencies must select <b>one of the following approaches</b> regarding comprehensive criminal background checks:	<input type="checkbox"/>				
<ul style="list-style-type: none"> <li>◆ States, Territories, and Tribes may allow for a review process of drug-related felonies committed in the past 5 years through which the State, Territory, or Tribe may determine that a child care staff member (including a prospective child care staff member) disqualified for a crime is eligible for employment.</li> <li>◆ <b>OR</b> the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach.</li> </ul>					

\*“A child care provider” refers to a center-based child care provider, a family child care provider, or another provider of child care services for compensation and on a regular basis that is 1) not an individual who is related to all children for whom child care services are provided and 2) is licensed, regulated, or registered or eligible to receive CCDF funds.

\*\*“Child care staff member” refers to an individual (other than an individual who is related to all children for whom child care services are provided) 1) who is employed by a child care provider for compensation, including contract employees or self-employed individuals; 2) whose activities involve the care or supervision of children for a child care provider or unsupervised access to children who are cared for or supervised by a child care provider; or 3) who resides in a family child care home and is 18 years of age or older.

**Notes:**

## Section II. Help Parents Make Informed Consumer Choices

Please fill out the information below.

Grantee name:

Completed by (name):

Date:

### Implementation Stage Key

N = No action    E = Exploring    D = Developing    I = Initial implementation    F = Full implementation

### 45 C.F.R. § 98.32. Parental complaints

Regulation	Implementation Stage				
	N	E	D	I	F
Tribal Lead Agencies shall establish a hotline or similar reporting process* for parents to submit complaints about child care providers.	<input type="checkbox"/>				
Tribal Lead Agencies shall maintain a record of substantiated parent complaints.**	<input type="checkbox"/>				
Tribal Lead Agencies shall make information regarding substantiated parental complaints available to the public on request.**	<input type="checkbox"/>				
Tribal Lead Agencies shall provide a detailed description in the CCDF Plan of how:	<input type="checkbox"/>				
<ul style="list-style-type: none"> <li>◆ Complaints are substantiated and responded to, including whether or not the Lead Agency uses monitoring as part of its process for responding to complaints for both CCDF and non-CCDF providers, and</li> <li>◆ A record of substantiated complaints is maintained and is made available.</li> </ul>					

\* There is flexibility regarding the format of the reporting process for parental complaints. AI/AN CCDF grantees can choose to implement a phone hotline, or they can use other formats such as a web form, email address, or voicemail box.

\*\* This is a preexisting requirement that was in effect before the CCDBG Act of 2014 and the CCDF final rule.

Notes:

45 C.F.R. § 98.33. Consumer and provider education

Regulation	Implementation Stage				
<p>Tribal Lead Agencies are required to certify that they will collect and disseminate consumer education information to parents of eligible children, the general public, and providers regarding:</p> <ul style="list-style-type: none"> <li>◆ Lead Agency processes for conducting monitoring and inspections of child care providers;</li> <li>◆ Lead Agency policies and procedures related to criminal background checks for child care providers; and</li> <li>◆ The offenses that prevent individuals from serving as child care providers.</li> </ul>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>Tribal Lead Agencies shall collect and disseminate a localized list of all licensed child care providers that is searchable by zip code to parents of eligible children, the general public, and providers. Lead Agencies can choose to include all eligible child care providers on this list, but must differentiate between licensed and license-exempt providers. The list shall not include individuals who are related to all children for whom child care services are provided.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>Tribal Lead Agencies shall collect and disseminate information to parents of eligible children, the general public, and providers about the quality of a provider as determined by the Lead Agency through a quality rating and improvement system or other transparent system of quality indicators, <b>if such information is available for the provider.</b></p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>Tribal Lead Agencies shall collect and disseminate information to parents of eligible children, the general public, and providers regarding results of monitoring and inspection reports for all eligible and licensed child care providers (other than individuals who are related to all children for whom child care services are provided). Lead Agencies shall make full monitoring and inspection reports available in a timely manner, either in plain language or with a plain language summary, that include:</p> <ul style="list-style-type: none"> <li>◆ Information on the date of such inspection;</li> <li>◆ Information on corrective action taken where applicable;</li> <li>◆ Any health and safety violations, including any fatalities and serious injuries occurring at the provider, prominently displayed on the report or summary; and</li> <li>◆ A minimum of 3 years of results where available.</li> </ul>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>Tribal Lead Agencies shall collect and disseminate information to parents of eligible children, the general public, and providers regarding the aggregate number of deaths and serious injuries (for each provider category and licensing status) and instances of substantiated child abuse that occurred in child care settings each year, for eligible providers.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>Tribal Lead Agencies shall collect and disseminate information to parents of eligible children, the general public, and providers regarding referrals to local child care resource and referral organizations.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>Tribal Lead Agencies shall collect and disseminate information to parents of eligible children, the general public, and providers regarding directions for parents to contact the Lead Agency or its designee and other programs to help them understand the consumer education information provided by the Lead Agency.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>

Regulation	Implementation Stage				
Tribal Lead Agencies shall certify that they will collect and disseminate, through resource and referral organizations or other means, information about the availability of child care services through CCDF, other programs for which families may be eligible, and the availability of financial assistance for child care services.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies shall certify that they will collect and disseminate, through resource and referral organizations or other means, information about other programs for which families that receive assistance through CCDF may be eligible, including: <ul style="list-style-type: none"> <li>◆ Temporary Assistance for Needy Families (TANF);</li> <li>◆ Head Start and Early Head Start;</li> <li>◆ Low-Income Home Energy Assistance Program (LIHEAP);</li> <li>◆ Supplemental Nutrition Assistance Program (SNAP);</li> <li>◆ Special Supplemental Nutrition Program for Women, Infants, and Children (WIC);</li> <li>◆ Child and Adult Care Food Program (CACFP); and</li> <li>◆ Medicaid and the State Children’s Health Insurance Programs (CHIP).</li> </ul>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies shall certify that they will collect and disseminate, through resource and referral organizations or other means, information about programs carried out under section 619 and part C of the Individuals with Disabilities Education Act (IDEA).	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies shall certify that they will collect and disseminate, through resource and referral organizations or other means, information about: <ul style="list-style-type: none"> <li>◆ Research and best practices concerning children’s development;</li> <li>◆ Meaningful parent and family engagement; and</li> <li>◆ Physical health and development, particularly healthy eating and physical activity.</li> </ul>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies shall certify that they will collect and disseminate, through resource and referral organizations or other means, information about policies regarding social-emotional behavioral health of children. This may include positive behavioral health intervention and support models and policies to prevent suspension and expulsion of children birth to age 5 in child care and other early childhood programs.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>

Regulation	Implementation Stage				
	N	E	D	I	F
<p>Tribal Lead Agencies shall provide information on developmental screenings to parents as part of the intake process for families receiving assistance through CCDF and to providers through training and education. This includes providing:</p> <ul style="list-style-type: none"> <li>◆ Information on existing resources and services available for conducting developmental screenings;</li> <li>◆ Referrals to services when appropriate for children receiving assistance through CCDF, including coordinating the use of the use of the Early and Periodic Screening, Diagnosis, and Treatment program and developmental screening services available under section 619 and part C of IDEA ; and</li> <li>◆ A description of how a family or eligible child care provider may utilize these resources and services to obtain developmental screenings for children receiving assistance through CCDF that may be at risk for cognitive or other developmental delays.</li> </ul>	□	□	□	□	□
<p>Tribal Lead Agencies shall provide a consumer education statement to families that receive assistance through CCDF that includes:</p> <ul style="list-style-type: none"> <li>◆ Specific information about the child care provider selected by the parent, including health and safety requirements met, any regulatory requirements met, the date the provider was last inspected, any history of violations of these requirements, and any voluntary quality standards met by the provider;</li> <li>◆ Information about how CCDF subsidies are designed to promote equal access;</li> <li>◆ Information on how to submit a provider complaint through the hotline or similar reporting process; and</li> <li>◆ Information regarding how to contact local resource and referral agencies or other community-based supports that assist parents in finding and enrolling in quality child care.</li> </ul>	□	□	□	□	□

**Notes:**

## Section III. Provide Equal Access to Stable Child Care for Low-Income Children

Please fill out the information below.

Grantee name:

Completed by (name):

Date:

### Implementation Stage Key

**N = No action    E = Exploring    D = Developing    I = Initial implementation    F = Full implementation**

### 45 C.F.R. § 98.30. Parental choice

Regulation	Implementation Stage				
	N	E	D	I	F
<p><b>Large allocations:</b> The parent or parents of each CCDF-eligible child who receives assistance shall be offered the choice to either:</p> <ul style="list-style-type: none"> <li>◆ Enroll the child with an eligible child care provider that has a grant or contract for such services,* or</li> <li>◆ Receive a child care certificate (that may be a check, or other disbursement) that is issued by a grantee directly to a parent who may use such certificate as payment for child care services or as a deposit for child care services.*</li> </ul> <p><b>Medium allocations:</b> Exempt from the requirement to provide a certificate as an option for parents.</p>	N	E	D	I	F
	<input type="checkbox"/>				
When a parent elects to enroll a child with a provider that has a grant or contract for the provision of child care services, the child will be enrolled with the provider selected by the parent to the maximum extent practicable.*	N	E	D	I	F
	<input type="checkbox"/>				
<p><b>Large allocations:</b> If a parent decides to use a child care certificate, the certificate will be issued directly to the parent and should be equal to the subsidy value of the child care services provided through grants or contracts.*</p> <p><b>Note:</b> Large-allocation grantees must offer the certificate option, but medium-allocation grantees are not required to do so. If a medium-allocation grantee operates a certificate program, it must adhere to this requirement.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p><b>Large allocations:</b> Certificates may be used as a deposit for child care services if such a deposit is required of other children being cared for by the provider.*</p> <p><b>Note:</b> Large-allocation grantees must offer the certificate option, but medium-allocation grantees are not required to do so. If a medium-allocation grantee operates a certificate program, it must adhere to this requirement.</p>	N	E	D	I	F
	<input type="checkbox"/>				

Regulation	Implementation Stage				
	N	E	D	I	F
<p><b>Large allocations:</b> Certificates must permit parents to choose from a variety of child care categories, including center-based child care, family child care, and in-home care (limitations to in-home care must be described in the CCDF Plan). If the parent chooses, the certificate may be used for child care services provided by a sectarian organization or agency, including those that engage in religious activities*.</p>	<input type="checkbox"/>				
<p><b>Note:</b> Large-allocation grantees must offer the certificate option, but medium-</p>					
<p>Tribal Lead Agencies shall provide information regarding the range of provider options available, including care by sectarian providers and relatives, to families offered child care services.*</p>	<input type="checkbox"/>				
<p>Tribal Lead Agencies shall not establish or implement rules, procedures, or other requirements that significantly restrict parental choice by:</p>	<input type="checkbox"/>				
<ul style="list-style-type: none"> <li>◆ Expressly or effectively excluding any care category (center-based child care, family child care, or in-home care) or any type of provider (e.g., nonprofit providers, for-profit providers, sectarian providers and relatives who provide care);*</li> <li>◆ Limiting parental access to or ability to choose certain categories of care or types of providers;*</li> <li>◆ Excluding a significant number of providers in any category of care or of any type of provider.*</li> </ul>					
<p>As long as the provisions above are met, parental-choice provisions shall not be construed as prohibiting Tribal Lead Agencies from establishing policies that require providers receiving CCDF funds to meet higher standards of quality.</p>	<input type="checkbox"/>				
<p>Parental-choice provisions shall not be construed as prohibiting Tribal Lead Agencies from providing parents with information and incentives that encourage the selection of high-quality child care.</p>	<input type="checkbox"/>				

\* This is a preexisting requirement that was in effect before the CCDBG Act of 2014 and the CCDF final rule.

**Notes:**

**45 C.F.R. § 98.16. Plan provisions [regarding eligibility definitions]**

Regulation	Implementation Stage				
The CCDF Plan shall define the following for the purposes of determining eligibility: <sup>*</sup>	N	E	D	I	F
◆ Special needs child;	☐	☐	☐	☐	☐
◆ Physical or mental incapacity (if applicable);					
◆ Attending a job training or educational program;					
◆ Job training and educational program;					
◆ Residing with;					
◆ Working;					
◆ Protective services (if applicable), including whether children in foster care are considered in protective services for purposes of child care eligibility, and whether respite care is provided to custodial parents of children in protective services; and					
◆ In loco parentis.					

<sup>\*</sup> This is a preexisting requirement that was in effect before the CCDBG Act of 2014 and the CCDF final rule.

**Notes:**

**45 C.F.R. § 98.81. Application and plan procedures [regarding eligibility]**

Regulation	Implementation Stage				
	N	E	D	I	F
For purposes of determining eligibility, the following terms shall also be defined:*	N	E	D	I	F
◆ Indian child; and	<input type="checkbox"/>				
◆ Indian reservation or tribal service area.					
The CCDF plan shall include the basis for determining family eligibility:	N	E	D	I	F
◆ <b>Optional:</b> If a Tribe’s median income is below 85 percent of the state median income (SMI) in the State in which the Tribe is located, the Tribal Lead Agency can choose to consider any Indian child in the Tribe’s service area eligible to receive CCDF funds, regardless of the family’s income, work, or training status, provided that provision of services goes to those with the highest need.	<input type="checkbox"/>				
◆ If the Tribe’s median income is below 85 percent of the SMI and it does not choose the option above, <b>or</b> if the Tribe’s median income is above 85 percent of the SMI, then tribal program must determine eligibility for services using either					
■ 85 percent of the SMI for a family of the same size, or					
■ 85 percent of the tribal median income (TMI), which is the median income for a family of the same size residing in the area served by the Tribal Lead Agency.**					

\* This is a preexisting requirement that was in effect before the CCDBG Act of 2014 and the CCDF final rule.

\*\* “Grantee median income (GMI)” is used in this document to refer to the median income that the Tribal Lead Agency uses to determine eligibility, which can be either the SMI or the TMI.

**Notes:**

**45 C.F.R. § 98.20. A child’s eligibility for child care services**

Regulation	Implementation Stage				
<p>To be eligible for services at that time of eligibility determination or redetermination, a child must be under 13 years of age.*</p> <p><b>Optional:</b> Tribal Lead Agencies can consider a child under age 19 eligible if he or she is physically or mentally incapable of caring for himself or herself, or is under court supervision.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>To be eligible for services at that time of eligibility determination or redetermination, a child must reside with a family whose:</p> <ul style="list-style-type: none"> <li>◆ Income does not exceed 85 percent of the <a href="#">grantee median income</a> (GMI), based on the most recent GMI data provided by the Census Bureau for a family of the same size, and</li> <li>◆ Family assets do not exceed \$1,000,000 (as certified by such family member).</li> </ul> <p><b>Optional:</b> If the tribal median income is below 85 percent of the state median income in the State in which the Tribe is located, the Tribal Lead Agency can choose to consider any Indian child in the Tribe’s service area eligible to receive CCDF funds, regardless of the family’s income, provided that provision of services goes to those with the highest need.</p> <p><b>Optional:</b> These requirements may be waived for children who are eligible for child care because they meet the definition of “receiving or needing to receive protective services,” if determined to be necessary on a case-by-case basis</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>To be eligible for services at the time of eligibility determination or redetermination, a child must:</p> <ul style="list-style-type: none"> <li>◆ Reside with a parent or parents who are working or attending a job training or educational program;* <b>or</b></li> <li>◆ Receive, or need to receive, protective services* (which may include specific populations of vulnerable children as defined by the Lead Agency).</li> </ul> <p><b>Optional:</b> If the tribal median income is below 85 percent of the state median income in the State in which the Tribe is located, the Tribal Lead Agency can choose to consider any Indian child in the Tribe’s service area eligible to receive CCDF funds, regardless of the family’s work or training status, provided that provision of services goes to those with the highest need.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>To be eligible for services at the time of eligibility determination or redetermination, a child must meet the Tribe’s definition of Indian child and reside within the Indian reservation or tribal service area.*</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>



Regulation	Implementation Stage				
Tribal Lead Agencies may establish eligibility conditions or priority rules, which shall be described in the CCDF Plan, so long as they do not:	N	E	D	I	F
◆ Discriminate against children on the basis of race, national origin, ethnic background, sex, religious affiliation, or disability;*	☐	☐	☐	☐	☐
◆ Limit parental rights;*					
◆ Violate the eligibility provisions outlined or the CCDF Plan;*					
◆ Discriminate based on the based on <a href="#">the category or type of care that a parent selects or a parent's choice of a child care certificate</a> ;*					
◆ Impact eligibility other than at the time of eligibility determination or redetermination.					

\* This is a preexisting requirement that was in effect before the CCDBG Act of 2014 and the CCDF final rule.

**Notes:**

45 C.F.R. § 98.21. Eligibility determination processes

Regulation	Implementation Stage				
	N	E	D	I	F
<p>Redetermination of a child’s eligibility shall not take place sooner than 12 months after initial determination or the most recent determination. During this period of time, a child who was determined eligible at initial determination or at the most recent determination shall continue to be considered eligible and will receive services at least at the same level, regardless of a change in family income if that family’s income does not exceed 85 percent of <a href="#">GMI</a> for a family of the same size.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>During the minimum 12-month eligibility period, a child who was determined eligible at initial determination or at the most recent determination shall continue to be considered eligible and will receive services at least at the same level, regardless of a temporary change in the ongoing status of the child’s parent as working or attending a job training or educational program.</p> <p>A temporary change shall include, at a minimum, a time-limited absence from work; an interruption in work for a seasonal worker who is not working between regular industry work seasons; any student holiday or break for a parent who is in training or education; any reduction in work, training, or education hours (as long as the parent is still working or attending training); or any other cessation of work or attendance at a training or education program that does not exceed 3 months (or a longer period, as determined by the Lead Agency).</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>During the minimum 12-month eligibility period, a child who was determined eligible at initial determination or at the most recent determination shall continue to be considered eligible and will receive services at least at the same level, regardless of any change in age, including turning 13 years old during the eligibility period.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>During the minimum 12-month eligibility period, a child who was determined eligible at initial determination or at the most recent determination shall continue to be considered eligible and will receive services at least at the same level, regardless of any in residency within the State, Territory, or tribal service area.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>Tribal Lead Agencies have the option, but are <b>not</b> required, to discontinue assistance as a result of a parent’s loss of work or cessation of attendance at a job training or educational program that does not constitute a temporary change (see above).</p> <p>If a Lead Agency uses this option, it must continue assistance at least at the same level for a period of at least 3 months after the loss or cessation of work, education, or training. If after the 3-month period of continued assistance, the parent is engaged in qualifying work, education, or training with income below 85 percent of the <a href="#">GMI</a>, assistance cannot be terminated before the next redetermination (or for an additional 12-month eligibility period, at the option of the Lead Agency).</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>If a Tribal Lead Agency chooses to initially qualify a family for CCDF assistance based on a parent’s status of seeking employment or engaging in job search, the Lead Agency can choose to end assistance after a minimum of 3 months if the parent has still not found employment. However, assistance should continue if the parent becomes employed during the job search.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
<p>Lead Agencies cannot increase family copayment amounts within the minimum 12-month eligibility period, except for those families whose children are determined eligible under the <a href="#">graduated phase-out conditions</a>.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>

Regulation	Implementation Stage				
	N	E	D	I	F
Because a child meeting eligibility requirements at the most recent eligibility determination or redetermination is considered eligible between redeterminations, any payment for such a child shall not be considered an error or improper payment (under subpart K of the CCDF final rule) due to a change in the family's circumstances.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies may discontinue assistance prior to the next redetermination in limited circumstances where there have been excessive unexplained absences despite multiple attempts by the Lead Agency or designated entities to contact the family and provider, including prior notification of possible discontinuation of assistance. If the Lead Agency chooses this option, it shall define the number of unexplained absences that shall be considered excessive.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies may also discontinue services prior to redetermination due to a change in residency outside the service area.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies may also discontinue services prior to redetermination due to substantiated fraud or intentional program violations that invalidate the prior determination of eligibility.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies that set family income eligibility at a level less than 85 percent of the <a href="#">GMI</a> for a family of the same size must provide a <b>graduated phase-out</b> by implementing two-tiered eligibility thresholds. The second tier of eligibility should be set to <ul style="list-style-type: none"> <li>◆ 85 percent of the <a href="#">GMI</a> for a family of the same size, or</li> <li>◆ An amount lower than 85 percent of <a href="#">GMI</a> for a family of the same size, but above the Lead Agency's initial eligibility threshold that takes into account the typical budget of a low-income family and provides justification.</li> </ul> At redetermination, a child shall be considered eligible if their parents, at the time of redetermination, are working or attending a job training or educational program, even if their income exceeds the Lead Agency's income limit to initially qualify for assistance, as long as their income does not exceed the second tier of eligibility. <p>To help families transition off of child care assistance, Lead Agencies may gradually adjust copayment amounts for families whose children are determined eligible under the graduated phase-out conditions and may require additional reporting on changes in family income, provided such requirements do not constitute an undue burden.</p>	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies shall establish processes for initial determination and redetermination of eligibility that take into account irregular fluctuation in earnings, including policies that ensure that temporary increases in income—including temporary increases that result in monthly income exceeding 85 percent of <a href="#">GMI</a> (calculated on a monthly basis)—do not affect eligibility or family copayments.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>
Tribal Lead Agencies shall establish procedures and policies to ensure that parents, especially parents receiving assistance through the Temporary Assistance for Needy Families (TANF) program, are not required to unduly disrupt their education, training, or employment in order to complete the eligibility redetermination process.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>

Regulation	Implementation Stage				
The CCDF Plan should describe any requirements for parents to notify the Lead Agency of changes in circumstances during the minimum 12-month eligibility period, and describe efforts to ensure that such requirements do not place an undue burden on eligible families.	N	E	D	I	F
Tribal Lead Agencies must require families to report a change at any point during the minimum 12-month period, limited to: <ul style="list-style-type: none"> <li>◆ If the family's income exceeds 85 percent of <a href="#">GMI</a>, taking into account irregular income fluctuations; or</li> <li>◆ At the option of the Lead Agency, if the family has experienced a nontemporary cessation of work, training, or education.</li> </ul>	N	E	D	I	F
Any additional requirements the Lead Agency chooses, at its option, to impose on parents to provide notification of changes in circumstances to the Lead Agency or entities designated to perform eligibility functions, shall not constitute an undue burden on families. Any such requirements shall limit notification requirements to items that impact a family's eligibility, shall <b>not</b> require an office visit, and shall offer a range of notification options (e.g., phone, email, online forms, extended submission hours) to accommodate the needs of parents.	N	E	D	I	F
During a period of <a href="#">graduated phase-out</a> , the Lead Agency may require additional reporting on changes in family income in order to gradually adjust family copayments, if desired.	N	E	D	I	F
Tribal Lead Agencies must allow families the option to voluntarily report changes on an ongoing basis. Lead Agencies are required to act on this information provided by the family if it would reduce the family's copayment or increase the family's subsidy. Lead Agencies are prohibited from acting on information that would reduce the family's subsidy unless the information provided indicates the family's income exceeds 85 percent of GMI for a family of the same size, taking into account irregular income fluctuations, or, at the option of the Lead Agency, the family has experienced a nontemporary change in work, training, or educational status.	N	E	D	I	F
Tribal Lead Agencies must take into consideration children's development and learning and promote continuity of care when authorizing child care services.	N	E	D	I	F
Tribal Lead Agencies are not required to limit authorized child care services strictly based on the work, training, or educational schedule of the parent(s) or the number of hours the parent(s) spend in work, training, or educational activities.	N	E	D	I	F

**Notes:**

**45 C.F.R. § 98.46. Priority for child care services**

Regulation	Implementation Stage				
	N	E	D	I	F
Tribal Lead Agencies shall give priority for child care services to:	N	E	D	I	F
◆ Children with special needs,* which may include any vulnerable populations as defined by the Lead Agency; and	<input type="checkbox"/>				
◆ Children experiencing homelessness.					

\* This is a pre-existing requirement that was in effect prior to the CCDBG Act of 2014 and the CCDF final rule.

**45 C.F.R. § 98.45. Equal access, and  
45 C.F.R. § 98.81. Application plans and procedures [related to payment rates]**

Regulation	Implementation Stage				
	N	E	D	I	F
Tribal Lead Agencies should certify that the payment rates for the provision of child care services ensure equal access, for eligible families in the area served by the Lead Agency, to child care services comparable to those provided to noneligible families.*	N	E	D	I	F
	<input type="checkbox"/>				
The CCDF Plan shall include a description of the Tribe’s payment rates, how they are established, and how they support quality, including, where applicable, cultural and linguistic appropriateness.	N	E	D	I	F
	<input type="checkbox"/>				
The CCDF Plan should provide a summary of the data and facts used to determine that payment rates ensure equal access. This summary should include facts demonstrating:	N	E	D	I	F
	<input type="checkbox"/>				
◆ How a full range of providers are made available,* the extent to which child care providers participate in the CCDF subsidy system, and any barriers to participation (including barriers related to payment rates and practices)					
◆ How base payment rates enable providers to meet health, safety, quality, and staffing requirements					
◆ How the Lead Agency took the cost of higher-quality child care into account					
◆ How copayments are based on a sliding fee scale and are affordable*					
◆ A rationale (if applicable) for the Lead Agency’s policy regarding whether child care providers may charge above the copayment					
◆ How the payment practices support equal access to a range of providers by providing stable funding and encouraging more providers to serve children with CCDF subsidies					
◆ How and on what factors the Lead Agency differentiates its payment rates					
◆ Any additional facts used to determine that payment rates ensure equal access					
Tribal Lead Agencies may not establish different payment rates based on a family’s eligibility status,* such as TANF status	N	E	D	I	F
	<input type="checkbox"/>				
Payment rates shall be consistent with the <a href="#">parental choice requirements</a> outlined in §98.30.*	N	E	D	I	F
	<input type="checkbox"/>				
Nothing in this section shall be construed to create a private right of action* if the Lead Agency acts in accordance with the CCDBG Act of 2014 and the CCDF final rule.	N	E	D	I	F
	<input type="checkbox"/>				

Regulation	Implementation Stage				
	N	E	D	I	F
Nothing in this part shall be construed to prevent a Lead Agency from differentiating payment rates on the basis of factors such as geographic location of providers, age or particular needs of children (such as children with disabilities, children served by child protective services, and children experiencing homelessness), whether child care providers provide services during the weekend or other nontraditional hours, or the Lead Agency's determination that such differential payment rates may enable parents to choose high-quality child care that best fits their needs.	N	E	D	I	F
Tribal Lead Agencies shall establish and periodically revise a sliding fee scale for families that receive CCDF child care services that:	N	E	D	I	F
<ul style="list-style-type: none"> <li>◆ Helps families afford child care and enables choice of a range of child care options;</li> <li>◆ Is based on income and the size of the family; and</li> <li>◆ Provides affordable copayments.</li> </ul> The scale may not be based on the cost of care or amount of subsidy payment.	□	□	□	□	□
Tribal Lead Agencies can choose to allow for copayments to be waived for families whose incomes are at or below the poverty level for a family of the same size, those with children who receive or need to receive protective services, or those that meet other criteria as established by the Lead Agency.	N	E	D	I	F
Tribal Lead Agencies shall demonstrate in their CCDF Plans that they have established payment rate practices that ensure timeliness of payment by either paying prospectively before the delivery of services, or paying within no more than 21 calendar days of the receipt of a complete invoice for services.	N	E	D	I	F
Tribal Lead Agencies shall demonstrate in their CCDF Plans that they have established payment rate practices that, to the extent practicable, support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by: <ul style="list-style-type: none"> <li>◆ Paying based on a child's enrollment rather than attendance;</li> <li>◆ Providing full payment if a child attends at least 85 percent of the authorized time;</li> <li>◆ Providing full payment if a child is absent for 5 or fewer days in a month; or</li> <li>◆ Using an alternative approach for which the Lead Agency provides a justification in its CCDF Plan.</li> </ul>	N	E	D	I	F
Tribal Lead Agencies shall demonstrate in their CCDF Plans that they have established payment rate practices that reflect generally accepted payment practices of child care providers that serve children who do not receive CCDF subsidies.	N	E	D	I	F
Tribal Lead Agencies shall demonstrate in their CCDF Plans that they have established payment rate practices that ensure that child care providers receive payment for any services in accordance with a written payment agreement or authorization for services that includes, at a minimum, information regarding provider payment policies, including rates, schedules, any fees charged to providers, and the dispute resolution process.	N	E	D	I	F
Tribal Lead Agencies shall demonstrate in their CCDF Plan that they have established payment rate practices that ensure that child care providers receive prompt notice of changes to a family's eligibility status that may impact payment, and that such notice is sent to providers no later than the day the Lead Agency	N	E	D	I	F



Regulation	Implementation Stage				
becomes aware that such a change will occur.					
Tribal Lead Agencies shall demonstrate in their CCDF Plans that they have established payment rate practices that include timely appeal and resolution processes for any payment inaccuracies and disputes.	N <input type="checkbox"/>	E <input type="checkbox"/>	D <input type="checkbox"/>	I <input type="checkbox"/>	F <input type="checkbox"/>

**Note:** AI/AN grantees are exempt from the market rate survey or alternative methodology and associated requirements in § 98.45.

\* This is a preexisting requirement that was in effect before the CCDBG Act of 2014 and the CCDF final rule.

**Notes:**

## Section IV. Enhance the Quality of Child Care

Please fill out the information below.

Grantee name:

Completed by (name):

Date:

### Implementation Stage Key

**N = No action    E = Exploring    D = Developing    I = Initial implementation    F = Full implementation**

### 45 C.F.R. § 98.44. Training and professional development

Regulation	Implementation Stage				
	N	E	D	I	F
Tribal Lead Agencies must describe in their CCDF Plans their established requirements for accessible preservice or orientation training for caregivers, teachers, and directors regarding health and safety standards for the <a href="#">11 topic areas outlined in section I of this tool</a> . Orientation or preservice training shall be completed within 3 months of hire.	<input type="checkbox"/>				
Tribal Lead Agencies must describe in their CCDF Plans their established requirements for accessible preservice or orientation training for caregivers, teachers, and directors regarding child development (including the major domains—cognitive, social, emotional, physical development, and approaches to learning). Orientation or preservice training shall be completed within 3 months of hire.	<input type="checkbox"/>				
Tribal Lead Agencies must describe in their CCDF Plans their established requirements for ongoing, accessible professional development (PD) for caregivers, teachers, and directors, including the required minimum number of training and PD hours, that:	<input type="checkbox"/>				
<ul style="list-style-type: none"> <li>◆ Maintains and updates health and safety training standards on the required health and safety topics;</li> <li>◆ Incorporates social-emotional behavior intervention models;</li> <li>◆ To the extent practicable, is appropriate for different age groups, English learners, and children with developmental delays and disabilities; and</li> <li>◆ To the extent practicable, awards continuing education units or is credit bearing.</li> </ul>					



Notes:

**45 C.F.R. § 98.83. Requirements for tribal programs [related to quality spending]**

Regulation	Implementation Stage				
	N	E	D	I	F
Tribal Lead Agencies must spend a portion of their aggregate funds expended (i.e., discretionary and mandatory funds) each fiscal year on activities designed to improve the quality of child care services and increase parental options for, and access to, high-quality child care. Spending requirements are as follows: <ul style="list-style-type: none"> <li>◆ No less than 4 percent in fiscal year 2017,</li> <li>◆ No less than 7 percent in fiscal years 2018 and 2019,</li> <li>◆ No less than 8 percent in fiscal years 2020 and 2021, and</li> <li>◆ No less than 9 percent in fiscal year 2022 and each succeeding fiscal year.</li> </ul>	<input type="checkbox"/>				
Beginning in fiscal year 2019, Tribal Lead Agencies must spend no less than 3 percent of their aggregate funds expended (i.e., discretionary and mandatory funds) on activities designed to improve the supply and quality of care for infants and toddlers.	<input type="checkbox"/>				

Notes:

**45 C.F.R. § 98.53. Activities to improve the quality of child care**

Regulation	Implementation Stage				
	N	E	D	I	F
<p>Tribal Lead Agencies must spend a percentage of allotted funds to carry out quality activities to improve the quality of child care services. These funds must be used to carry out at least one of the following:</p> <ul style="list-style-type: none"> <li>◆ Training, professional development, and postsecondary education</li> <li>◆ Development or implementation of the early learning development guidelines</li> <li>◆ Developing, implementing or enhancing a quality rating and improvement system (QRIS)</li> <li>◆ Improving the supply and quality of child care programs and services for infants and toddlers</li> <li>◆ Establishing or expanding a system of child care resource and referral services throughout the CCDF program service area</li> <li>◆ Facilitating compliance with health and safety, inspection, licensing, training, or monitoring requirements</li> <li>◆ Evaluating and assessing the quality and effectiveness of child care program and services</li> <li>◆ Supporting child care providers in pursuit of national accreditation</li> <li>◆ Supporting efforts to develop or adopt high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development</li> <li>◆ Carrying out other measurable activities to improve the quality of the child care services provided</li> </ul>	□	□	□	□	□

**Notes:**



*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.*

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

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