

Roadmap to Reauthorization Self-Assessment Tool for Small-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 **small allocations** (less than \$250,000 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 small 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 three sections, which are based on three of the major sections of the CCDF final rule:

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

Note: AI/AN CCDF grantees with small allocations are exempt from one of the four major sections of the final rule: *Help parents make informed consumer choices*. For this reason, consumer education requirements are not included in this tool.

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 stage¹ 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.

¹ 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				
	N	E	D	I	F
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.	<input type="checkbox"/>				
Topic 1: Prevention and control of infectious diseases (including immunizations)					
◆ Requirements: Requirements for this topic are designed, implemented, and enforced.	<input type="checkbox"/>				
◆ Monitoring: Requirements for this topic are subject to monitoring.	<input type="checkbox"/>				
◆ Training: Preservice or orientation training and ongoing training on this topic are in place for caregivers, teachers, and directors.	<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.	<input type="checkbox"/>				
<p>Note: 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.</p>					

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"/>				
Topic 2: Prevention of sudden infant death syndrome and use of safe sleeping practices					
<p>◆ Requirements: Requirements for this topic are designed, implemented, and enforced.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ Monitoring: Requirements for this topic are subject to monitoring.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ Training: 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"/>				
Topic 3: Administration of medication, consistent with standards for parental consent					
<p>◆ Requirements: Requirements for this topic are designed, implemented, and enforced.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ Monitoring: Requirements for this topic are subject to monitoring.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ Training: 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"/>				
Topic 4: Prevention of and response to emergencies due to food and allergic reactions					
<p>◆ Requirements: Requirements for this topic are designed, implemented, and enforced.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ Monitoring: Requirements for this topic are subject to monitoring.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ Training: 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"/>				
Topic 5: Building and physical premises safety, including identification of and protection from hazards, bodies of water, and vehicular traffic					
<p>◆ Requirements: Requirements for this topic are designed, implemented, and enforced.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ Monitoring: Requirements for this topic are subject to monitoring.</p>	N	E	D	I	F
	<input type="checkbox"/>				
<p>◆ Training: 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				
Topic 6: Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment					
◆ Requirements: 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"/>
◆ Monitoring: 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"/>
◆ Training: 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"/>
Topic 7: Emergency preparedness and response planning 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.					
◆ Requirements: 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"/>
◆ Monitoring: 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"/>
◆ Training: 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"/>
Topic 8: Handling and storage of hazardous materials and the appropriate disposal of biocontaminants					
◆ Requirements: 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"/>
◆ Monitoring: 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"/>
◆ Training: 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"/>
Topic 9: Appropriate precautions in transporting children (if applicable)					
◆ Requirements: 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"/>
◆ Monitoring: 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"/>
◆ Training: 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"/>
Topic 10: Pediatric first aid and cardiopulmonary resuscitation					
◆ Requirements: 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"/>
◆ Monitoring: 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"/>
◆ Training: 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				
Topic 11: Recognition and reporting of child abuse and neglect					
◆ Requirements: Requirements for this topic are designed, implemented, and enforced.	N	E	D	I	F
	<input type="checkbox"/>				
◆ Monitoring: Requirements for this topic are subject to monitoring.	N	E	D	I	F
	<input type="checkbox"/>				
◆ Training: 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"/>				
Optional: Tribal Lead Agencies may establish, implement, and enforce requirements related to nutrition (including age-appropriate feeding).	N	E	D	I	F
	<input type="checkbox"/>				
Optional: Tribal Lead Agencies may establish, implement, and enforce requirements related to access to physical activity.	N	E	D	I	F
	<input type="checkbox"/>				
Optional: Tribal Lead Agencies may establish, implement, and enforce requirements related to caring for children with special needs.	N	E	D	I	F
	<input type="checkbox"/>				
Optional: 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	E	D	I	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	E	D	I	F
	<input type="checkbox"/>				

Notes:

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

Regulation	Implementation Stage				
	N	E	D	I	F
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.	<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.	<input type="checkbox"/>				
Tribal Lead Agencies must select one of the following approaches regarding monitoring of child care providers and facilities:	<input type="checkbox"/>				
<ul style="list-style-type: none"> ◆ The provision to require inspections of child care providers and facilities, as follows: <ul style="list-style-type: none"> ■ 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 ■ 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 ◆ Or a Tribal Lead Agency may describe an alternative monitoring approach in its CCDF Plan and provide adequate justification for the approach. 	<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	<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				
Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background check:	N	E	D	I	F
<ul style="list-style-type: none"> ◆ 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: <ul style="list-style-type: none"> ■ A Federal Bureau of Investigation (FBI) fingerprint check using Next Generation Identification. ■ A search of the National Crime Information Center’s National Sex Offender Registry. ■ 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"> ● 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 ● State sex offender registry or repository ● State-based child abuse and neglect registry and database ◆ Or the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 	☐	☐	☐	☐	☐
Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:	N	E	D	I	F
<ul style="list-style-type: none"> ◆ 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. ◆ Or 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. 	☐	☐	☐	☐	☐

Regulation	Implementation Stage				
<p>Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> ◆ 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. ◆ Or the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> ◆ 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"> ■ Note: 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. ◆ Or the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> ◆ 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. ◆ Or the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> ◆ 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. ◆ Or the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 	N	E	D	I	F
	<input type="checkbox"/>				

Regulation	Implementation Stage				
<p>Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> ◆ 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. ◆ Or the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> ◆ 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. ◆ Or the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> ◆ 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. ◆ Or the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 	N	E	D	I	F
	<input type="checkbox"/>				
<p>Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:</p> <ul style="list-style-type: none"> ◆ The results of individual background checks shall not be released or shared publically. ◆ Or the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 	N	E	D	I	F
	<input type="checkbox"/>				

Regulation	Implementation Stage				
	N	E	D	I	F
Tribal Lead Agencies must select one of the following approaches regarding comprehensive criminal background checks:	<input type="checkbox"/>				
<ul style="list-style-type: none"> ◆ 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. 					
<ul style="list-style-type: none"> ◆ OR the Tribal Lead Agency describes an alternative background check approach in its CCDF Plan and provides adequate justification for the approach. 					

*“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. 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. § 98.81. 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:	<input type="checkbox"/>				
◆ Indian child; and	<input type="checkbox"/>				
◆ Indian reservation or tribal service area.	<input type="checkbox"/>				

Notes:

Section III. 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 11 topic areas outlined in section I of this tool . 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: <ul style="list-style-type: none"> ◆ Maintains and updates health and safety training standards on the required health and safety topics; ◆ Incorporates social-emotional behavior intervention models; ◆ To the extent practicable, is appropriate for different age groups, English learners, and children with developmental delays and disabilities; and ◆ To the extent practicable, awards continuing education units or is credit bearing. 	<input type="checkbox"/>				

Notes:

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

Regulation	Implementation Stage				
<p>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:</p> <ul style="list-style-type: none"> ◆ No less than 4 percent in fiscal year 2017, ◆ No less than 7 percent in fiscal years 2018 and 2019, ◆ No less than 8 percent in fiscal years 2020 and 2021, and ◆ No less than 9 percent in fiscal year 2022 and each succeeding fiscal year. 	N	E	D	I	F
	<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"> ◆ Training, professional development, and postsecondary education ◆ Development or implementation of the early learning development guidelines ◆ Developing, implementing or enhancing a quality rating and improvement system (QRIS) ◆ Improving the supply and quality of child care programs and services for infants and toddlers ◆ Establishing or expanding a system of child care resource and referral services throughout the CCDF program service area ◆ Facilitating compliance with health and safety, inspection, licensing, training, or monitoring requirements ◆ Evaluating and assessing the quality and effectiveness of child care program and services ◆ Supporting child care providers in pursuit of national accreditation ◆ Supporting efforts to develop or adopt high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development ◆ Carrying out other measurable activities to improve the quality of the child care services provided 	□	□	□	□	□

Notes:



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

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