



NATIONAL CENTER ON
Subsidy Innovation and Accountability



Addendum to the Self-Assessment Instrument

This addendum is designed to support a grantee's completion of the Self-Assessment Instrument (SAI). It provides the applicable CCDF regulation and any administrative guidance cited for each section of the instrument. *Note – not all sections have regulatory citations to be referenced in this document.*

Last updated: February 2021

Section I A: Family Eligibility and Payment Elements

SAI Element	CCDBG Act and Final Rule
<p>1. Grantee ensures that only eligible families and children receive services.</p>	<ul style="list-style-type: none"> • The term “eligible child” means an individual, who at the time of eligibility determination or redetermination: <ul style="list-style-type: none"> • is less than 13 years of age or, at the option of the Lead Agency, be under age 19 and physically or mentally incapable of caring for himself or herself, or under court supervision; • has family income that does not exceed 85 percent of the state median income (SMI), which must be based on the most recent SMI data that is published by the Census Bureau, for a family of the same size, and whose family assets do not exceed \$1,000,000 (as certified by such family member); and • resides with a parent or parents, who are: <ul style="list-style-type: none"> • working or attending training or educational programs, or • receiving, or needs to receive, protective services (which may include specific populations of vulnerable children as identified by the Lead Agency) and residing with a parent or parents (who are not required to be working or attending training or educational programs). [Sec. 658P(4); 45 CFR § 98.2; 45 CFR 98.20]
<p>2. Program integrity practices do not compromise program access or continuity of care for eligible families and children.</p>	<ul style="list-style-type: none"> • Lead Agencies must demonstrate how processes for initial determination and redetermination consider irregular fluctuations in earnings. [Sec. 658E(c)(2)(N)(i)(II); 45 CFR § 98.21(c)] • The plan shall describe procedures and policies that are in place to ensure that working parents [especially parents in families receiving assistance under the program of block grants to states for Temporary Assistance for Needy Families under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.)] are not required to unduly disrupt their employment in order to comply with the state’s or designated local entity’s requirements for redetermination of eligibility for assistance. [Sec. 658E(c)(2)(N)(ii); 45 CFR § 98.21(d)]
<p>3. Case management policy and processing standards ensure that the grantee takes timely action in response to relevant changes in family circumstances.</p>	<ul style="list-style-type: none"> • Lead Agencies must allow families the option to voluntarily report changes on an ongoing basis. [45 CFR § 98.21(e)(4)] • Lead Agencies must act on the information provided by the family if it would reduce the family’s co-payment or increase the family’s subsidy. [45 CFR § 98.21(e)(4)(i)] • Lead Agencies have the option, but are not required, to discontinue assistance due to a parent’s loss of work or cessation of attendance at a job training or educational program that does not constitute a temporary change. However, if the Lead Agency exercises this option, it must continue assistance at least at the same level for a period of not less than three months after each such loss or cessation in order for the parent to engage in job search and resume work, or resume attendance at a job training or educational activity. [Sec. 658E(c)(2)(N); 45 CFR § 98.21(a)(2)(i)] • Lead Agencies must ensure 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 becomes aware that such a change will occur. [45 CFR § 98.45(l)(5)]

SAI Element	CCDBG Act and Final Rule
<p>4. Grantee establishes a process for conducting eligibility redeterminations.</p>	<ul style="list-style-type: none"> • Each child determined to meet eligibility requirements on the date of the most recent eligibility determination or redetermination will be considered to meet all eligibility requirements, for not less than 12 months before the state or local entity redetermines the eligibility of the child. [Sec. 658E(c)(2)(N); 45 CFR § 98.21(a)] • During the period between determinations or redeterminations, once a child has been determined eligible, the child shall be considered eligible and will receive services at least at the same level regardless of: <ul style="list-style-type: none"> • a change in family income for the child’s family, if that family income does not exceed 85% of the state median income for a family of the same size; or • a temporary change [as defined at 45 CFR § 98.21(a)(1)(iii)] in the ongoing status of the child’s parent as working or attending a job training or educational program. [Sec. 658E(c)(2)(N)(iii); 45 CFR § 98.21(a)(1)] • Lead Agencies must describe policies and procedures to ensure working parents, especially parents receiving assistance through the Temporary Assistance for Needy Families program, are not required to unduly disrupt their employment in order to comply with requirements for redetermination of eligibility. [Sec. 658E(c)(2)(N)(ii); 45 CFR § 98.21(d)] • Lead Agencies must describe policies and procedures to continue assistance, at the beginning of a new eligibility period, for children of parents who are working or attending a job training or educational program, and whose family income exceeds the state’s income limit to initially qualify for assistance, if family income does not exceed 85% of SMI. [Sec. 658E(c)(2)(N); 45 CFR § 98.21(b)(2)] • Lead Agencies that establish a family income eligibility at a level less than 85% of SMI for a family of the same size must provide a graduated phase-out by implementing two-tiered eligibility, with the second tier (used at redetermination) set at: <ul style="list-style-type: none"> • 85% of SMI for a family of the same size; or • An amount lower than 85%, but above the initial eligibility threshold, that: <ul style="list-style-type: none"> • Considers the typical household budget of a low-income family; and • Provides justification that the second eligibility threshold: <ul style="list-style-type: none"> • Is sufficient to accommodate increases in family income over time; and • Reasonably allows a family to continue accessing child care services without unnecessary disruption. [Sec. 658E(c)(2)(N)(iv); 45 CFR § 98.21(b)(1)]
<p>5. Grantee policies and procedures ensure the accuracy of payment authorizations.</p>	<ul style="list-style-type: none"> • 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. [45 CFR §§ 98.21(g)] • Lead Agencies are responsible for ensuring that all children served in CCDF are eligible for the program and receiving care from eligible child care providers. This includes instituting procedures to ensure eligibility is appropriately verified, including monitoring state, local, and non-governmental agencies directly engaged in eligibility determination. CCDF requirements pertaining to child eligibility are found at 45 CFR § 98.20. (CCDF-ACF-PI-2010-06)

SAI Element

CCDBG Act and Final Rule

6. Grantee statewide and local payment rates and co-payments are sufficient to assure equal access to services comparable to those provided to children who do not receive federal assistance.

Lead Agencies must:

- Certify that the payment practices of child care providers that serve children who receive assistance reflect generally accepted payment practices of child care providers that serve children who do not receive CCDF subsidies to provide stability of funding and encourage more child care providers to serve children who receive assistance. [Sec. 658E(c)(2)(S); 45 CFR § 98.45(l)(3)]
- Assure that the state will, to the extent practicable, delink provider reimbursement rates from an eligible child’s occasional absences. [Sec. 658E(c)(2)(S); 45 CFR § 98.45(l)(2)]
- Implement strategies (which may include alternative reimbursement rates to child care providers, direct contracts or grants, child care certificates to parents, or other means) to increase the supply and improve the quality of child care services for children in underserved areas, infants and toddlers, children with disabilities, and children who receive care during nontraditional hours. [Sec. 658E(c)(2)(M); 45 CFR § 98.16(x)]
- Describe the process, with respect to investments made to increase access to programs providing high-quality child care and development services, to give priority to children of families in areas that have significant concentrations of poverty and unemployment and that do not have such programs. [Sec. 658E(c)(2)(Q); 45 CFR § 98.46(b)]
- Certify that payment rates are sufficient to ensure equal access for eligible children to child care services that are comparable to child care services in the state or sub-state area involved that are provided to children whose parents are not eligible to receive assistance or to receive child care assistance under any other federal or state program. [Sec. 658E(c)(4)(A); 45 CFR § 98.15(b)(11)]
- After consulting with appropriate entities, develop and conduct (not earlier than two years before the date of the submission of the application containing the state plan) a statistically valid and reliable survey of the market rates for child care services (that reflects variations in the cost of child care services by geographic area, type of provider, and age of child) or an alternative methodology. [Sec. 658E(c)(4)(B); 45 CFR § 98.45(b)(2)]
- Prepare a detailed report containing the results of the market rate survey or alternative methodology and make the results widely available (not later than 30 days after the completion of such survey or alternative methodology) through periodic means, including posting the results on the internet. [Sec. 658E(c)(4)(B)(i) and 658E(c)(4)(B)(ii); 45 CFR § 98.45(f)(1)]
- After conducting the market rate survey or alternative methodology, set payment rates for CCDF assistance without, to the extent practicable, reducing the number of families receiving CCDF assistance. [Sec. 658E(c)(4)(B)(iii); 45 CFR § 98.45 (f)(2)(v)]
- Describe how the state will provide for timely payment for child care services. [Sec. 658E(c)(4)(B)(iv); 45 CFR § 98.45(l)(1)]
- Establish and periodically revise, by rule, a sliding fee scale(s) that provides for cost sharing (that is not a barrier to families receiving assistance) by the families that receive child care services.
 - Help families afford child care and enables choice of a range of child care options;
 - Be based on income and family size and may be based on other factors, as appropriate, but may not be based on the cost of care or amount of subsidy payment;
 - Provide for affordable family co-payments that are not a barrier to families receiving assistance;
 - At Lead Agency discretion, allow for co-payments to be waived for:
 - families whose incomes are at or below the poverty level for a family of the same size,
 - that have children who receive or need to receive protective services, or
 - that meet other criteria established by the Lead Agency. [Sec. 658E(c)(5); 45 CFR § 98.45(k)]

Section I B: Provider Eligibility Elements

SAI Element	CCDBG Act and Final Rule
<p>1. Grantee has routine internal control processes for determining that providers operate legally.</p>	<p>Lead Agencies must have in effect:</p> <ul style="list-style-type: none"> • Licensing, regulation, and registration requirements, as applicable, that prohibit the employment of child care staff members who are ineligible for employment by child care providers based on background check requirements. [Sec. 658H(a)(1), 658H(a)(2), and 658H(c); 45 CFR § 98.43(a) (1)(ii) and 45 CFR § 98.43(c)] • Requirements, policies, and procedures to require and conduct criminal background checks for child care staff members (including prospective child care staff members) of child care providers. <p>Comprehensive background checks for a child care staff member must include:</p> <ul style="list-style-type: none"> • A Federal Bureau of Investigation fingerprint check using Next Generation Identification; • A search of the National Crime Information Center’s National Sex Offender Registry; and • 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 five years: <ul style="list-style-type: none"> • State criminal registry or repository, with the use of fingerprints being: <ul style="list-style-type: none"> • Required in the state where the staff member resides; • Optional in other states; • State sex offender registry or repository; and • State-based child abuse and neglect registry and database. [Sec. 658H(b); 45 CFR § 98.43(b)] <p>A child care staff member is ineligible for employment by a child care provider if such individual:</p> <ul style="list-style-type: none"> • Refuses to consent to the comprehensive background check; • Knowingly makes a materially false statement in connection with the criminal backgroundcheck; • Is registered, or is required to be registered on a state sex offender registry or repository or the National Sex Offender Registry; • Has been convicted of a felony consisting of: <ul style="list-style-type: none"> • Murder, as described in Section 1111 of Title 18, United States Code • Child abuse or neglect • A crime against children, including pornography • Spousal abuse • A crime involving rape or sexual assault • Kidnapping • Arson • Physical assault or battery • A drug-related offense committed during the preceding five years <ul style="list-style-type: none"> • § 98.43(e)(4) requires Lead Agencies to allow for a review process for drug related offenses. • Has been convicted of a violent misdemeanor committed as an adult against a child, including the following crimes: Child abuse, child endangerment, sexual assault, or of a misdemeanor involving child pornography. [Sec. 658H(c)(1); 45 CFR § 98.43(c)(1)] • A child care provider that employs an ineligible staff member is ineligible for CCDF assistance. [Sec. 658H(c)(2); 45 CFR § 98.43(c)(2)]

SAI Element

CCDBG Act and Final Rule

Child care providers must submit requests for comprehensive background checks to the agency designated by the Lead Agency. An individual who became a child care staff member before the date of enactment of the CCDBG Act of 2014 must submit a request:

- Not later than the last day of the second full fiscal year after the date of enactment of the CCDBG Act of 2014;
- Not less often than once during each five-year period following the first submission; and
- Individuals who are prospective child care staff members on or after that date of enactment must submit criminal background check requests:
 - prior to the date the individual becomes a child care staff member; and
 - not less than once during each five-year period following the first submission date. [Sec. 658H(d)(1) and 658H(d)(2); 45 CFR § 98.43(d)(2)(i) and (ii)]

Lead Agencies shall not require child care providers to submit criminal background checks for a staff member if:

- the staff member received a background check within five years before the latest date on which such a submission may be made and while employed by or seeking employment by another child care provider within the state; and
- the Lead Agency provided to the first provider a qualifying background check for the staff member and the staff member is employed by a child care provider within the state, or has been separated from employment from a child care provider within the state for a period of not more than 180 consecutive days. [Sec. 658H(d)(4); 45 CFR § 98.43(d)(3)]

Lead Agencies must carry out requests for comprehensive background checks as expeditiously as possible, but not to exceed 45 days after the date on which such request was submitted, and shall provide the results of the comprehensive background check to such provider and to the current or prospective staff member. [Sec. 658H(e)(1); 45 CFR § 98.43(e)(1)]

- Lead Agencies must provide the results of the comprehensive background check to the provider in a statement that indicates whether the staff member, or prospective member, is eligible or ineligible without revealing any disqualifying crime or other related information regarding the individual. [Sec. 658H(e)(2)(A); 45 CFR § 98.43(e)(2)(i)]
- If the child care staff member is ineligible, the Lead Agency will provide the results of the background check to the staff member or prospective staff member, which must include information related to each disqualifying crime and information on the opportunity to appeal. [Sec. 658H(e)(2)(B); 45 CFR § 98.43(e)(2)(ii)]
- Lead Agencies will not release or share the results of individual background checks but may release aggregated data by crime as listed as long as the data does not contain personally identifiable information. [Sec. 658H(e)(2)(C); 45 CFR § 98.43(e)(2)(iii)]
- Lead Agencies must develop a process by which a child care staff member or prospective employee may appeal the results to challenge the accuracy or completeness of the information contained in the criminal background report. [Sec. 658H(e)(3)(A); 45 CFR § 98.43(e)(3)]
- Lead Agencies must ensure that each child care staff member is given notice of the opportunity to appeal, instructions about how to complete the appeals process, and ensure the appeals process is completed in a timely manner. [Sec. 658H(e)(3)(B); 45 CFR § 98.43(e)(3)]
- Lead Agencies may implement a review process through which the state may determine that a disqualified child care staff member or prospective employee is eligible for employment. The review process shall be consistent with Title VII of the Civil Rights Act of 1964 (42 U.S.C. 2000e et seq.—Equal Employment Opportunities). [Sec. 658H(e)(4) and 658H (5); 45 CFR § 98.43(e)(3) and (4)]
 - Fees Lead Agencies charge for processing requests and administering comprehensive background checks must not exceed the actual costs to the state. [Sec. 658H(f); 45 CFR § 98.43(e)(5)(f)]

SAI Element

CCDBG Act and Final Rule

- Lead Agencies must ensure that the policies and procedures under Section 658H are published on the website (or otherwise publicly available venue in the absence of a website) of the state and the websites of local lead agencies. [Sec. 658H(g); 45 CFR § 98.43(g)]
- Lead Agencies may disqualify individuals as child care staff members based on their conviction for crimes not specifically listed in Section 658H that bear upon the fitness of an individual to provide care for and have responsibility for the safety and well-being of children. [Sec. 658H(h); 45 CFR § 98.43(h)]
- Nothing in Section 658H shall be construed to affect the rights and remedies provided for child care staff members residing in a state that disqualifies individuals for crimes not specifically provided for under this section. [Sec. 658H(h); 45 CFR § 98.43(h)(2)]
- The term “child care provider” means a center-based or group home provider, a family child care provider, or another provider of child care services for compensation and on a regular basis that:
 - Is not an individual who is related to all children for whom child care services are provided; and
 - Is licensed, regulated, or registered under state law or receives assistance provided under this subchapter.
- The term “child care staff member” means an individual other than an individual who is related to all children for whom child care services are provided:
 - Who is employed by a provider for compensation;
 - Whose activities involve the care or supervision of children for a provider or unsupervised access to children who are cared for or supervised by a provider; and
 - Any individual residing in a family child care home age 18 and older. [Sec. 658H(i) and 358H(i)(2);45 CFR § 98.43(a)(2)]
- Lead Agencies must meet the requirements of section 658H for the provision of criminal background checks not later than Sept. 17, 2017. [Sec. 658H(j)(1) through Sec. 658H(j)(3)]

SAI Element	CCDBG Act and Final Rule
<p>2. Grantee ensures that child care providers meet CCDF minimum health and safety requirements.</p>	<p>The CCDF Plan must certify requirements (appropriate to the provider setting and age of children served) that are designed, implemented, and enforced to protect the health and safety of children. Such requirements, which are subject to monitoring pursuant to § 98.42, must include health and safety topics consisting of, at a minimum:</p> <ul style="list-style-type: none"> • Prevention and control of infectious diseases (including immunization) [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(i)] <ul style="list-style-type: none"> • Lead Agencies shall assure that children receiving services under the CCDF are age-appropriately immunized with respect to immunization [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(i)(A)] • Lead Agencies may exempt: children who are cared for by relatives; children who receive care in their own home, 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 contradicts immunization [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(i)(B)(1-4)] • Lead Agencies shall establish a grace period (established in consultation with the state, territorial, or tribal health agency) that allows homeless children and children in foster care to receive services under this subchapter while their families (including foster families) are taking any necessary action to comply with immunization and other health and safety requirements [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(i)(C)] • Prevention of sudden infant death syndrome and use of safe sleeping practices; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(ii)] • Administration of medication, consistent with standards for parental consent; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(iii)] • Prevention of and response to emergencies due to food and allergic reactions; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(iv)] • Building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(v)] • Prevention of shaken baby syndrome and abusive head trauma; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(vi)] • Emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(vii)] • Handling and storage of hazardous materials and the appropriate disposal of bio contaminants; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(viii)] • Appropriate precautions in transporting children, if applicable; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(ix)] • Pediatric first aid and cardiopulmonary resuscitation; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(x)] and • Recognition and reporting of child abuse and neglect. [45 CFR § 98.41(a)(1)(xi)] <p>Lead Agencies must provide minimum health and safety training, to be completed pre-service or during an orientation period in addition to ongoing training, appropriate to the provider setting; [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(i)(C)(4)(xii)(D)(2)]</p> <p>Lead Agencies may include in the health and safety training, requirements relating to nutrition, access to physical activity or any other subject area determined by the state to be necessary to promote child development or to protect children’s health and safety. [Sec. 658(E)(c)(I); 45 CFR § 98.41(a)(1)(xii)]</p>

SAI Element	CCDBG Act and Final Rule
<p>3. Grantee has procedures in place to ensure that child care providers comply with additional program health and safety requirements established by the grantee.</p>	<p>Each Lead Agency shall certify in the Plan that procedures are in effect to ensure that child care providers of services for which assistance is made available in accordance with this within the area served by the Lead Agency, comply with all applicable state, local, or tribal health and safety requirements, including those described in §§ 98.41 and 98.42. [Sec. 658E(c)(2)(j); 45 CFR §§ 98.15(b)(7) and 98.15(b)(8)]</p>

Section I C: Monitoring Controls Elements

SAI Element	CCDBG Act and Final Rule
<p>1. Grantee has overall responsibility for program integrity and financial accountability of the CCDF program.</p>	<p>In retaining overall responsibility for administration of the program, the Lead Agency will monitor programs and services. [45 CFR § 98.11(6)]</p>

Section IV: Federal Reporting Elements

SAI Element	CCDBG Act and Final Rule
<p>1. Grantee submits the triennial CCDF Plan which serves as an agreement between the grantee and HHS on how the program will be administered.</p>	<p>The CCDF Plan period is extended to three years. (Sec. 658E(b); 45 CFR § 98.17(a))</p>

SAI Element	CCDBG Act and Final Rule
<p>2. Grantee submits ACF-801 data reports on the number and characteristics of providers, families and children that participate.</p>	<p>Lead Agencies are required to report:</p> <ul style="list-style-type: none"> • The total monthly family income (and family size used) for determining eligibility; • ZIP code of residence of the family and ZIP code of the location of the child care provider; • Gender and month/year of birth of children; • Ethnicity and race of children; • Whether the head of the family is a single parent; • The sources of family income from employment and assistance (including self-employment), cash or other assistance under the Temporary Assistance for Needy Families program under Part A of Title IV of the Social Security Act [42 U.S.C. 609(a)(7)], cash or other assistance under a state program for which state spending is counted toward the maintenance of effort requirement under Section 409(a)(7) of the Social Security Act, housing assistance, assistance under the Food Stamp Act of 1977, and other assistance programs; • The month/year child care assistance to the family started; • The type(s) of child care in which the child was enrolled (such as family child care, in-home care, or center-based child care); • Whether the child care provider was a relative; • The total monthly child care co-payment by the family; • If applicable, any amount charged by the provider to the family more than the required copayment in instances where the provider's price exceeds the subsidy payment; • The total expected dollar amount per month to be received by the provider for each child; • The total hours per month of such care; • Unique identifier of the head of the family unit receiving child care assistance, and of the child care provider; • Reasons for receiving care; • Whether the family is experiencing homelessness; • Whether the parent(s) are in the military service; • Whether the child has a disability; • Primary language spoken at home; • Date of the child care provider's most recent health, safety and fire inspection meeting the requirements of § 98.42(b)(2); • Indicator of the quality of the child care provider; and • Any additional information that the secretary shall require. [45 CFR § 98.71(a)(1-22)]