

ACF-118A OMB Control Number: 0970-0198

Expiration date: XXXX

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Child Care and Development Fund (CCDF) Plan

for

Tribe: [Click or tap here to enter text.](#)

[Optional: click or tap here to upload Tribal seal.](#)

FFY 2026–2028

This Plan describes the Child Care and Development Fund (CCDF) program to be administered by the Tribal Lead Agency for the period from 10/01/2025 to 9/30/2028. As provided for in the applicable statutes and regulations, the Tribal Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described herein.

For purposes of simplicity and clarity, the specific provisions printed herein of applicable laws and regulations are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text. The Tribal Lead Agency acknowledges its responsibility to adhere to them regardless of these modifications.

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Introduction and How to Approach Plan Development

Overview

The Child Care and Development Block Grant Act (CCDBG) (42 U.S.C. 9857 *et seq.*), together with Section 418 of the Social Security Act (42 U.S.C. 618), authorize the Child Care and Development Fund (CCDF), the primary federal funding source devoted to supporting families with low incomes afford child care and increasing the quality of child care for all children. The CCDF program is administered by the Office of Child Care (OCC) within the Administration for Children and Families (ACF) at the U.S. Department of Health and Human Services and provides resources to state, territory, and Tribal governments via their designated CCDF Lead Agency.

CCDF plays a vital role in supporting family well-being and child development; facilitating parental employment, training, and education; improving the economic well-being of participating families; and promoting safe high-quality care and learning environments for children when out of their parents' care.

As required by CCDBG, this CCDF Plan serves as the Tribal Lead Agency's application for a three-year cycle of CCDF funds and is the primary mechanism OCC uses to determine Tribal Lead Agency compliance with the requirements of the statute and regulations. Tribal CCDF Lead Agencies must comply with the rules set forth in CCDBG and corresponding ACF-issued rules and regulations, which are cited throughout the Plan. For example, the citation for Indian child definition is noted as 98.81(b)(2)(i). The CCDF Plan is a fundamental part of OCC's oversight of CCDF and is designed to align with and complement other oversight mechanisms, including administrative and financial data reporting, audits, and the annual ACF-700 Tribal Annual Report.

The Tribal CCDF program includes flexibilities specifically to address a broad range of Tribal needs and population sizes including: tiered program requirements based on the size of the Lead Agency's CCDF allocation. CCDF categorizes Tribal Lead Agencies as small, medium, or large allocations based on their allocation in FY2016. Tribal Lead Agencies with small allocations (less than \$250,000 in fiscal year [FY] 2016) have the most flexibility in spending and the fewest CCDF program requirements though they must spend their CCDF program funds in alignment with the goals and purposes of the CCDF program and comply with health and safety, monitoring, background checks, and quality spending requirements. To align with these more limited CCDF program requirements, Tribal Lead Agencies with small allocations complete an abbreviated CCDF Plan.

Organization of Plan

In their CCDF Plans, Tribal Lead Agencies must describe how they implement the CCDF program. The Plan is organized into the following parts and sections:

Part I (for Tribal Lead Agencies with small, medium, and large allocations):

1. CCDF Program Administration
2. Health and Safety
3. Quality Improvement

Part II (for Tribal Lead Agencies with small allocations only):

4. Direct Services

Part III (for Tribal Lead Agencies with medium and large allocations only):

5. Stable Child Care Financial Assistance

6. Equal Access to Quality Child Care
7. Family Outreach and Consumer Education

Completing the Plan

This revised Plan aims to capture the most accurate and up-to-date information about how a Tribal Lead Agency is implementing its CCDF program in compliance with the requirements of CCDF. In responding to Plan questions, Tribal Lead Agencies should provide concise and specific summaries and/or bullet points as appropriate to the question.

Tribal Lead Agencies must submit their CCDF Plan to OCC no later than July 1, 2025.

Review and Amendment Process

OCC will review submitted CCDF Plans for completeness and compliance with federal policies. Each Tribal Lead Agency will receive a letter approximately 90 days after the Plan is due to inform them that their Plan has been approved or approved with conditions. OCC recognizes that Tribal Lead Agencies continue to modify and adapt their programs to address evolving needs and priorities. Tribal Lead Agencies must submit amendments to their Plans as they make substantial policy and program changes during the three-year plan cycle, including when addressing areas of non-compliance.

Appendix 1: Triennial Child Count Declaration/Demonstration Consortium Member Tribe

OCC has created a standardized template for Tribes who are members of a consortium to submit their individual child count declaration and demonstration of approval for the Tribal Lead Agency to act on their behalf. The template must be completed and signed by an individual authorized to act for the Tribe and submitted as part of the Plan.

Appendix 2: Tribal Early Learning Initiative (TELI)

Tribal Lead Agencies have the **option** to submit Appendix 2, which will serve as a notification to OCC that they plan to use CCDF funds to support early childhood systems building and TELI activities. The appendix offers interested Tribal Lead Agencies with opportunity to describe how they will use Tribal CCDF program funds, to support applicable child care services for TELI efforts in their communities, and request to join the TELI Collaborative or the TELI Network. This initiative is voluntary, and Tribal Lead Agencies are not required to complete this appendix.

CCDF Plan Submission

Tribal CCDF Lead Agencies will submit their Plans electronically through the Child Care Automated Reporting System (CARS). CARS will include all language and questions included in the final Tribal CCDF Plan template approved by the Office of Management and Budget (OMB). *Note: The format of the questions in CARS could be modified from the Word version of the document to ensure compliance with Section 508 policies regarding accessibility to electronic and information technology for individuals with disabilities.*

1 Part I: CCDF Program Administration

1.1 Definition of Indian Child

For the purposes of determining eligibility, Tribal Lead Agencies must define Indian child (98.81(b)(2)(i)). This definition must be limited to children from federally recognized Indian Tribes, consistent with the CCDBG Act's definition of Indian Tribe (98.2).

This definition could include children who are Tribal members, whose membership is pending, who are eligible for membership, and/or are children or descendants of members and could also include adopted children, foster children, or stepchildren.

1.1.1 Indian Child

The Tribal Lead Agency defines an Indian child as: [Click or tap here to enter text.](#)

1.2 Definition of Service Area

Programs and activities must be carried out for the benefit of Indian children living on or near the Indian reservation, which is called the service area. Tribal Lead Agencies must define their service area in the CCDF Plan (98.81(b)(2)(ii)). The service area must be within reasonably close geographic proximity to the borders of a Tribe's reservation (except for Tribes in Alaska, California, and Oklahoma). Tribes that do not have reservations must establish service areas within reasonably close geographic proximity to the area where the Tribe's population resides (98.80(e); 98.81(b)(3)(ii); 98.83(b)).

Tribal Lead Agencies are expected to be able to provide services to families throughout the service area. ACF will not approve an entire state as a Tribe's service area.

1.2.1 Service Area

- a. The Tribal Lead Agency defines the service area as: [Click or tap here to enter text.](#)
- b. **Optional:** In addition to the description above, a clearly labeled map of the service area is attached. Attachment: [Click or tap here to upload an attachment.](#)

1.2.2 Adjacent and Overlapping Service Areas

Is the service area (as defined in 1.2.1) adjacent to, or overlapping with, the service area(s) of any other Tribal Lead Agencies?

☐ No.

☐ Yes.

- a. ☐ Identify those other Tribal Lead Agencies with neighboring or overlapping service areas. Describe: [Click or tap here to enter text.](#)
- b. ☐ Describe the Tribal Lead Agency's process for ensuring unduplicated child counts for this overlapping service area: [Click or tap here to enter text.](#)

1.3 Child Count (Direct Funded and P.L. 102-477)

For the purposes of determining a Tribe/Tribal organization’s annual CCDF program funding level, the Tribal Lead Agency is required to conduct and submit a triennial child count of children younger than age 13, as defined in 98.81(b)(2)(i). The child count submitted is not reflective of the number of children who receive direct services. Instead, the child count gives the number of potentially eligible children who meet the Tribal Lead Agency’s definition of Indian Child and who reside in the designated service area.

The Tribal child count will be effective from October 1, 2025, to September 30, 2028, and will be valid for 3 years. If a consortium gains or loses a member organization(s), then the adjustments will be made accordingly. *Note: A consortium must also submit Appendix 1: Triennial Child Count Declaration/Demonstration.*

The Tribal Lead Agency may not count any children who are included in the child count of another CCDF Tribal Lead Agency. The Tribal Lead Agency is required to confer with all other CCDF Tribal Lead Agencies that have overlapping or neighboring service areas (98.81(b)(4)).

1.3.1 Non-Consortium Child Count

- a. This certifies that the number of Indian children younger than age 13 (as defined in 1.1.1) who reside on the service area (as defined in 1.2.1) for the Tribal Lead Agency is: [Click or tap here to enter text.](#) (number)
- b. Date the child count completed: [Click or tap here to enter text.](#)

1.3.2 Consortium Child Count

- a. This certifies that the number of Indian children younger than age 13 (as defined in 1.1.1) who reside on the service area (as defined in 1.2.1) for the consortium Tribal Lead Agency and consortium members are:

Consortium Tribal Lead Agency	Mandatory Count of Children Less than 13 Years Old	Discretionary Count of Children Less than 13 Years Old
TOTAL (System Calculated)	Automated in CARS—Sum of all consortium members	Automated in CARS—Sum of all consortium members

Consortium Member	Mandatory Count of Children Less than 13 Years Old	Discretionary Count of Children Less than 13 Years Old	Signed Declaration/Demonstration for Each Consortium Member (attach letter) <i>Example in Appendix 1</i>
Member 1 (CARS will prepopulate consortium members; delete or add as necessary)			Click or tap here to upload.

Member 2			Click or tap here to upload.
Member 3			Click or tap here to upload.
Member 4, etc.			Click or tap here to upload.

- b. The counts above show the number of Indian children younger than age 13 as of: [Click or tap here to enter text.](#) (date)

1.3.3 102-477 Reallotted Tribal Discretionary Funds

(Only P.L. 102-477 Tribal Lead Agencies are required to answer this question.)

Does the Tribal Lead Agency request discretionary funds that may be available through the reallotment process?

☐ No.

☐ Yes.

1.4 Optional: Telling the Tribal Story

1.4.1 Optional: Telling the Tribal Story

Note: Information that is provided is subject to review to ensure consistency in the Plan.

- Optional: Telling the Tribal Story:** Describe the mission, history, or service model of the Tribe(s). What is the vision for child care within the Tribal community's early childhood system? [Click or tap here to enter text.](#)
- Optional: Leadership:** Share any additional information that would help OCC to better understand the structure of the Tribe's leadership, such as organization charts and the cycle the Tribal Nation uses to choose Tribal leadership, and the local government structure: [Click or tap here to enter text.](#)
- Optional Attachment(s):** Upload any attachments the Tribe(s) would like to share as part of the story, such as a mission statement or strategic planning document: [Click or tap here to upload an attachment.](#)

1.5 CCDF Leadership

This section identifies the Tribal Nation or participating member Tribes/villages of a Tribal consortium leadership of the CCDF program, including the designated Tribal Lead Agency. It also addresses who was consulted in the development of the Tribal CCDF Plan and how the Tribal Lead Agency plans to coordinate CCDF services with other entities.

1.5.1 Tribe or Tribal Consortium Information

- Official name of the federally recognized Tribe as listed in the Federal Register or Tribal consortium: [Click or tap here to enter text.](#)

- b. Name of Tribal Chair, President, or Leader: [Click or tap here to enter text.](#)
- c. Title: [Click or tap here to enter text.](#)
- d. Address: [Click or tap here to enter text.](#)
- e. City, state, ZIP code: [Click or tap here to enter text.](#)
- f. Telephone number: [Click or tap here to enter text.](#)
- g. Email address: [Click or tap here to enter text.](#)

1.5.2 Tribal Consortium

A Tribal consortium refers to a partnership between two or more Tribal governments authorized by the governing bodies of those Tribes/Alaska Native villages to allow the Tribal consortium to apply for and receive CCDF funding on behalf of the participating member Tribes/villages.

- a. Does the Tribal Lead Agency represent participating member Tribes/villages as a Tribal consortium?
 - ☐ No. **(Skip to Section 1.6.)**
 - ☐ Yes.

Note: A Tribal consortium must list and provide a demonstration for each participating member Tribe/village within Section 1.3 Child Count.

- b. A Tribal consortium must describe how it coordinates services, including direct services, on behalf of each of its participating member Tribes/villages (98.81(b)(8)(ii); 98.83(c)(1)).

Describe how child care services are provided to each participating member Tribe/village: [Click or tap here to enter text.](#)

1.6 Designated Tribal Lead Agency

The Tribe or Tribal consortium must designate an agency to represent the Tribe/consortium as the Tribal Lead Agency. This designated agency agrees to administer the Tribal CCDF program in accordance with applicable federal laws and regulations and the provisions of this Plan (98.10; 98.16(a); 98.83(a)).

The Tribal Lead Agency can be a department or sub-agency, such as the CCDF department, human services department, workforce development department, and in some cases, the Tribe itself may be the Tribal Lead Agency.

Note: An amendment to the CCDF Tribal Plan is required in the event of a change in the designated Tribal Lead Agency.

1.6.1 Designated Agency by the Tribe or Tribal Consortium

Which agency has been designated by the Tribe or Tribal consortium to administer the CCDF program?

Name of Tribal Lead Agency: [Click or tap here to enter text.](#)

1.6.2 Contact Information for the Tribal CCDF Administrator

Identify the CCDF Administrator designated by the Tribal Lead Agency. The CCDF Administrator serves as the day-to-day contact person responsible for administering the Tribal CCDF program. If there is more than one designated contact person with shared responsibility for administering the CCDF program, please identify the Co-Administrator/Assistant Administrator and include relevant contact information.

- a. Name of Tribal CCDF Administrator: [Click or tap here to enter text.](#)
- b. Title: [Click or tap here to enter text.](#)
- c. Mailing address: [Click or tap here to enter text.](#)
- d. Physical address (if different than mailing address): [Click or tap here to enter text.](#)
- e. Phone number: [Click or tap here to enter text.](#)
- f. Cell phone number: [Click or tap here to enter text.](#)
- g. Email address: [Click or tap here to enter text.](#)

1.6.3 Contact Information for the Tribal CCDF Co-Administrator/Assistant Administrator

- a. Name of Tribal CCDF Co-Administrator/Assistant Administrator: [Click or tap here to enter text.](#)
- b. Title: [Click or tap here to enter text.](#)
- c. Mailing address (if different from above): [Click or tap here to enter text.](#)
- d. Physical address (if different than mailing address): [Click or tap here to enter text.](#)
- e. Phone number: [Click or tap here to enter text.](#)
- f. Cell phone number: [Click or tap here to enter text.](#)
- g. Email address: [Click or tap here to enter text.](#)

1.6.4 Contact Information for the Tribal Fiscal Contact

Identify the fiscal contact designated by the Tribal Lead Agency. The fiscal contact serves as the person who will answer questions related to the ACF-696T reports, and other related CCDF fiscal topics. If there is more than one designated contact person with shared responsibility for fiscal management, please identify them in 1.6.5 and include relevant contact information.

- a. Name of Tribal fiscal contact: [Click or tap here to enter text.](#)
- b. Title: [Click or tap here to enter text.](#)
- c. Mailing address: [Click or tap here to enter text.](#)
- d. Physical address (if different than mailing address): [Click or tap here to enter text.](#)
- e. Phone number: [Click or tap here to enter text.](#)
- f. Cell phone number: [Click or tap here to enter text.](#)
- g. Email address: [Click or tap here to enter text.](#)

1.6.5 Optional: Contact Information for Any Other Tribal Contact

Identify any additional contacts that OCC should include in correspondence with the Tribe or Tribal Lead Agency.

- a. Name of the other Tribal contact: [Click or tap here to enter text.](#)
- b. Title: [Click or tap here to enter text.](#)
- c. Mailing address: [Click or tap here to enter text.](#)
- d. Physical address (if different than mailing address): [Click or tap here to enter text.](#)
- e. Phone number: [Click or tap here to enter text.](#)
- f. Cell phone number: [Click or tap here to enter text.](#)
- g. Email address: [Click or tap here to enter text.](#)

1.7 Administration through Contracts or Agreements

The Tribal Lead Agency has broad authority to administer the CCDF program through contracts or agreements with other governmental, non-governmental, or other public or private local agencies. The Tribal Lead Agency remains the single point of contact and retains overall responsibility for the administration of the CCDF program (98.11(a)(3); 98.16(d)(1)). Examples of such agreements could include:

- A written agreement with another Tribal entity, such as Tribal enterprise or Tribal commerce, to operate Tribal child care centers or to conduct training and monitoring
- A contract with a local agency to operate the Tribal Lead Agency's child care program (including determining family eligibility and issuing payments to child care providers or providing high-quality activities)

1.7.1 Direct Administration and Operation

Will the Tribal Lead Agency directly administer and operate the CCDF program?

- ☐ Yes, the Tribal Lead Agency will directly administer and operate all aspects of the CCDF program.
- ☐ No, the Tribal Lead Agency will not directly administer and implement all aspects of the CCDF program and certifies that there is a written agreement between the Tribal Lead Agency and other agencies.

1.8 Consultation in the Development of the Tribal CCDF Plan

In the development of the Tribal CCDF Plan, the Tribal Lead Agency is required to consult with appropriate representatives of the local government of the Tribal Nation (98.10(c); 98.14(b)). Tribal Lead Agencies are also required to conduct a public hearing to provide an opportunity to comment on the provision of the child care services under the CCDF Plan (98.14(c)). For the purposes of developing this Plan, consultation involves meeting with or obtaining input from appropriate representatives of the Tribal community.

1.8.1 Consultation and Representation

Check to certify that the Tribal Lead Agency consulted with appropriate representatives of the local government of the Tribal Nation in the development of this Plan, as practicable:

☐ Yes.

☐ No.

1.8.2 Public Hearings

Tribal Lead Agencies are required to conduct a public hearing to provide those interested with an opportunity to comment on the provision of child care services under the CCDF Plan (98.14(c); 98.16(e)).

The Tribal Lead Agency must conduct at least one public hearing prior to the submission of the Tribal CCDF Plan but no earlier than January 1, 2025. The Tribal Lead Agency must provide notice of the hearing throughout the Tribe's service area. This notice must be provided no later than 20 days prior to the date of the hearing. Tribal Lead Agencies must make the contents of the Plan available to the public in advance of the hearing.

Check to certify that the Tribal Lead Agency held at least one hearing after at least 20 days of public notice, to provide the public an opportunity to comment on the provision of child care services under the Plan before the Plan is submitted to ACF, but no earlier than nine months before the plan becomes effective.

☐ Yes.

☐ No.

1.8.3 Plan Availability to the Public

(Only Tribal Lead Agencies with medium or large allocations are required to answer this question.)

Tribal Lead Agencies with medium or large allocations must post their Plan and Plan amendments on a website to the extent practicable.

Check to certify that the Tribal Lead Agency makes the final CCDF Plan and any subsequent Plan amendments available to the public to the extent practicable:

☐ Yes.

☐ No.

1.9 Categories of Care

The Tribal Lead Agency must identify the categories of care CCDF eligible families may choose from, including those current or planned during the 3-year Plan period.

1.9.1 Categories of Care

(Only Tribal Lead Agencies with small allocations are required to answer this question).

Does the Tribal Lead Agency provide direct services?

☐ Yes.

☐ No. If no, to which categories of care does the Tribal Lead Agency provide quality funds?

- a. ☐ Center-based care: a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a nonresidential setting, unless care in excess of 24 hours is due to the nature of the work of a child's parent(s)
- b. ☐ Family child care: one or more individual(s) who provide child care services for fewer than 24 hours per day per child in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the work of a child's parent(s)
- c. ☐ In-home: an individual who provides child care services in the child's own home

1.9.2 Center-Based Child Care

Does the Tribal Lead Agency use center-based child care providers, which is a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a nonresidential setting, unless care in excess of 24 hours is due to the nature of work of a child's parent(s)?

☐ Yes.

☐ No.

1.9.3 Family Child Care

Does the Tribal Lead Agency use family child care providers, which is one or more individual(s) who provide child care services for fewer than 24 hours per day per child in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the work of a child's parent(s)?

☐ Yes.

☐ No.

1.9.4 In-Home Child Care

Does the Tribal Lead Agency use in-home child care providers, which is an individual who provides child care services in the child's own home?

☐ Yes.

☐ No.

1.10 Coordination of Services

The Tribal Lead Agency is required, as practicable, to coordinate services with other Tribal, federal, state, and/or local child care and early childhood development programs and agencies, such as:

- public health
- employment services/workforce development
- Temporary Assistance for Needy Families
- child care licensing
- Head Start
- State Advisory Council on Early Childhood Education and Care
- statewide afterschool network
- emergency management and response
- child and adult care food program
- McKinney-Vento state coordinates for homeless education
- agencies responsible for Medicaid and state children's health insurance program
- mental health services
- child care resource and referral agencies

Tribal Lead Agencies must demonstrate in the Plan how they encourage partnerships, if applicable and to the extent practicable, among Tribal agencies, other public agencies, other Tribes and Tribal organizations, private entities, and community-based organizations to leverage existing service delivery systems and to increase the supply and quality of services.

1.10.1 Coordination of the Delivery of CCDF Services with State or Tribal Agencies or Entities

Describe the ways that coordination occurs and the results of those coordination efforts: [Click or tap here to enter text.](#)

1.11 Program Integrity and Accountability

The Tribal Lead Agency is responsible for making sure that policies and procedures are in place to monitor programs and services, ensuring compliance with the rules of the program, and providing oversight in the expenditure of all funds, including identifying improper expenditures and undertaking fraud prevention and recovery efforts (98.11(b); 98.60(i); 98.66; 98.67; 98.68).

1.11.1 Identifying Improper Payments of Certificates, Vouchers, Grants, or Contracts

Tribal Lead Agencies are required to describe effective internal controls to identify improper payments.

- Describe how the Tribal Lead Agency's effective internal controls ensure integrity and accountability, including processes to ensure sound fiscal management (98.16(ff); 98.68(a)(1)). For example, how the CCDF program staff and fiscal staff coordinate and manage fiscal operations: [Click or tap here to enter text.](#)
- How does the Tribal Lead Agency prevent and identify improper payments? Check those that are included in the Tribe's policies and procedures for the use of certificates or vouchers, grants or contracts with approved child care providers:

- i. ☐ Train staff on CCDF policies and regulations.
- ii. ☐ Conduct supervisory staff reviews or quality assurance reviews.
- iii. ☐ Share data with other programs (e.g., state CCDF program, Tribal or state TANF program, Head Start, CACFP, other Tribal offices).
- iv. ☐ Run system reports that flag errors.
- v. ☐ Review enrollment documents and attendance or billing records.
- vi. ☐ Review provider records.
- vii. ☐ Perform ongoing monitoring and assessment of policy implementation.
- viii. ☐ Train staff on Tribal procurement procedures.
- ix. ☐ Inform families on allowable uses of Tribal CCDF funds.
- x. ☐ Create a timeline for review of a family's presumptive eligibility determinations.
- xi. ☐ Other. Describe: [Click or tap here to enter text.](#)

1.11.2 Identifying Improper Payments of Quality Funds

How does the Tribal Lead Agency prevent and identify improper payments? Check those that apply if the Tribal Lead Agency provides quality funds to approved providers:

- a. ☐ Train staff on CCDF policies and regulations.
- b. ☐ Conduct supervisory staff reviews or quality assurance reviews.
- c. ☐ Share data with other programs (e.g., state CCDF program, Tribal or state TANF program, Head Start, CACFP, other Tribal offices).
- d. ☐ Run system reports that flag errors.
- e. ☐ Review provider records.
- f. ☐ Perform ongoing monitoring and assessment of policy implementation.
- g. ☐ Train staff on Tribal procurement procedures.
- h. ☐ Review provider follow-up information/reports.
- i. ☐ Other. Describe: [Click or tap here to enter text.](#)

1.11.3 Identifying Improper Payments of Tribally Operated Centers

How does the Tribal Lead Agency prevent and identify improper payments? Check those that apply to the operation of a Tribally operated center:

- a. ☐ Not applicable. The Tribal Lead Agency does not operate a Tribally operated center.
- b. ☐ Train staff on CCDF policies and regulations.
- c. ☐ Conduct supervisory staff reviews or quality assurance reviews.

- d. ☐ Share data with other programs (e.g., state CCDF program, Tribal or state TANF program, Head Start, CACFP, other Tribal offices).
- e. ☐ Run system reports that flag errors.
- f. ☐ Review enrollment documents and attendance.
- g. ☐ Perform ongoing monitoring and assessment of policy implementation.
- h. ☐ Train staff on Tribal procurement procedures.
- i. ☐ Other. Describe: [Click or tap here to enter text.](#)

1.11.4 Investigating and Collecting Improper Payments

The Tribal Lead Agency is required to recover improper payments that are the result of fraud. How does the Tribal Lead Agency investigate and collect improper payments resulting from fraud (intentional errors or program violations)? Check those that apply:

- a. ☐ Coordinate with and refer to other Tribal, state, or federal agencies (e.g., Tribal Council, law enforcement).
- b. ☐ Require recovery if the improper payment exceeds a specific dollar amount. Identify the minimum dollar amount: \$ [Click or tap here to enter text.](#)
- c. ☐ Recover through repayment plans.
- d. ☐ Reduce payments in subsequent months.
- e. ☐ Recover through payroll deductions (i.e., for CCDF clients, providers, and staff employed by the Tribe).
- f. ☐ Other. Describe: [Click or tap here to enter text.](#)

1.12 Disaster Preparedness and Response Plan (Tribal Lead Agencies with Medium and Large Allocations)

Tribal Lead Agencies with medium and large allocations are required to establish a disaster/emergency preparedness plan for the Tribal service area. The plan must be developed in consultation with relevant agencies and partners and must describe how they will address the needs of children, including the need for safe child care, before, during, and after a state of emergency declared by the Governor or Tribal Chief Executive or a major disaster or emergency (98.16(dd) and as defined by Section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5122).

The disaster/emergency preparedness plan requirement does not pertain to Tribes with small allocations. However, they must meet the health and safety requirements at 98.41.

1.12.1 Child Care Disaster Plan Collaboration

Did the Tribal Lead Agency collaborate with other agencies to develop the Child Care Disaster Plan, which may include other programs within the Tribal Lead Agency's governance structure or any other partners identified by the Tribal Lead Agency? (e.g., Tribal or state emergency management agency,

child care licensing agency, or health department):

☐ Yes.

☐ No. Describe: [Click or tap here to enter text.](#)

1.12.2 Child Care Disaster Plan Components

Does the Child Care Disaster Plan include the following required components?:

a. Guidelines for the continuation of child care subsidies

☐ Yes.

☐ No.

b. Guidelines for the continuation of child care services

☐ Yes.

☐ No.

c. Procedures for the coordination of post-disaster recovery of child care services

☐ Yes.

☐ No.

2 Health and Safety

CCDF health and safety standard requirements provide a baseline for standards essential to protect the health and safety of children while in child care. Tribes have the authority to design Tribally appropriate standards to meet the needs of their citizens and communities. Tribal Lead Agencies of all allocation sizes must describe actions providers who receive CCDF program funds are required to take to ensure the health and safety of children in care. The Tribal Lead Agency must show how health and safety requirements apply to all providers serving children receiving CCDF services appropriate to the provider setting and age of the children served and describe any exemptions for relative providers.

Health and safety standards set clear and enforceable expectations for providers, set the foundation for health and safety training and establish the baseline for monitoring to ensure compliance. Tribal Lead Agencies will describe their monitoring systems, types of providers subject to comprehensive background checks, and the methods used to complete each component of the eight background checks. Tribal Lead Agencies have the flexibility to describe alternative monitoring and background check approaches and to provide justification for the approach.

Tribal Lead Agencies set standards appropriate to their goals and communities for ratios, group sizes, and provider qualifications to ensure that the child care environment is conducive to safety and learning and to enable caregivers to promote all domains of children’s development.

Tribal Lead Agencies will describe how they ensure individuals hired as monitoring inspectors are qualified to inspect. They will ensure that the ratio of inspectors to child care providers and facilities is maintained at a level sufficient to enable effective inspections on a timely basis and that inspectors have received training in related health and safety requirements.

If the Tribal Lead Agency utilizes relative providers, the Tribal Lead Agency has the flexibility to determine exemptions for relative providers for health and safety standards, training, monitoring, and comprehensive background checks.

Note: For Tribal Lead Agencies that utilize both relative providers and nonrelative providers, Sections 2.2 through 2.13 questions apply to non-relative providers only.

Tribal Lead Agencies that only utilize relative providers and exempt relatives from background check requirements only need to complete Section 2.1 in Section 2. For Tribal Lead Agencies who require relative providers to complete some or all background check requirements, Sections 2.14 through 2.20 are required.

2.1 Relative Providers

Tribal Lead Agencies have the **option** to exempt relatives over age 18 (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles from some or all health and safety requirements.

Note: This exception applies if the individual cares only for relative children.

Check and describe, where applicable, the exemptions the Tribal Lead Agency has for eligible relative providers over age 18 for the following health and safety requirements. The description should include any health and safety requirements that relatives must follow, if applicable.

2.1.1 Relative Care

Select the category of care for which the Tribal Lead Agency allows for relative care:

- ☐ The Tribal Lead Agency does not have relative care. **(Skip to Section 2.2.)**
- ☐ Family child care: Care is provided in a private residence other than the child's residence.
- ☐ In-home child care: Care is provided in the child's home.

2.1.2 Relative Care Only

Does the Tribal Lead Agency provide child care services utilizing **only** relative providers?

- ☐ No.
- ☐ Yes.

2.1.3 Health and Safety Standards

Select one of the two options:

- ☐ Relative providers are exempt from all health and safety standard requirements.
- ☐ Select the applicable topical standards required for relative providers:
 - a. ☐ The prevention and control of infectious diseases
 - b. ☐ Prevention of sudden infant death syndrome and use of safe sleeping practices
 - c. ☐ Administration of medication
 - d. ☐ Prevention and response to emergencies due to food and allergic reactions
 - e. ☐ Building and physical premises safety, including identification of and protection from hazards, bodies of water, and vehicular traffic
 - f. ☐ Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment
 - g. ☐ Emergency preparedness and response planning
 - h. ☐ Handling and storage of hazardous materials and the appropriate disposal of biocontaminants
 - i. ☐ Appropriate precautions in transporting children
 - j. ☐ Pediatric first aid and cardiopulmonary resuscitation
 - k. ☐ Recognition and reporting of child abuse and neglect
 - l. ☐ Other. Describe:

2.1.4 Health and Safety Training

Select one of the two options:

- ☐ Relative providers are exempt from all health and safety training requirements.

- ☐ Select the applicable topical trainings required for relative providers:
- a. ☐ The prevention and control of infectious diseases
 - b. ☐ Prevention of sudden infant death syndrome and use of safe sleeping practices
 - c. ☐ Administration of medication
 - d. ☐ Prevention and response to emergencies due to food and allergic reactions
 - e. ☐ Building and physical premises safety, including identification of and protection from hazards, bodies of water, and vehicular traffic
 - f. ☐ Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment
 - g. ☐ Emergency preparedness and response planning
 - h. ☐ Handling and storage of hazardous materials and the appropriate disposal of biocontaminants
 - i. ☐ Appropriate precautions in transporting children
 - j. ☐ Pediatric first aid and cardiopulmonary resuscitation
 - k. ☐ Recognition and reporting of child abuse and neglect
 - l. ☐ Other: [Click or tap here to enter text.](#)

2.1.5 Monitoring and Enforcement

Select one of the two options:

- ☐ Relative providers are exempt from all monitoring and enforcement requirements.
- ☐ Relative providers are subject to monitoring and enforcement.

2.1.6 Comprehensive Background Checks

Select one of the two options:

- ☐ Relative providers are exempt from all comprehensive background check requirements.
- ☐ Relative providers are required to have the following background checks: [Click or tap here to enter text.](#)

(CARS, if yes is selected in 2.1.2 and “relative providers are exempt” in 2.1.6 skip 2.10 through 2.19)

(CARS, if yes is selected in 2.1.2 and “relative providers are required...” in 2.1.6 skip 2.10 through 2.12)

2.2 Overview of Health and Safety Standards

Use the check boxes below to indicate the health and safety standards used by the Tribal Lead Agency for each category of care (98.16(l); 98.41(a)). If a Tribal Lead Agency uses both state and Tribal standards for any category of care, select both and describe how the standards apply. If a Tribal Lead Agency has adopted state standards as a whole, select state standards (98.41(a); 98.83(f)(1)).

- Tribal standards: The Tribal Lead Agency has developed its own health and safety standards,

including the adoption or adaptation of standards from other sources, such as Caring for Our Children or Head Start.

- State standards: The Tribal Lead Agency requires providers to meet health and safety standards established by a state agency (such as a state licensing agency or state department of education).

2.2.1 Center-Based Care (group care provided in a facility outside the child's or provider's home)

- a. ☐ Tribal health and safety standards
- b. ☐ State health and safety standards. State(s): [Click or tap here to enter text.](#)

(If both boxes are checked above, CARS will open 2.2.1c.)

- c. If both Tribal and state standards are selected, describe how each type of standard is applied: [Click or tap here to enter text.](#)

2.2.2 Family Child Care (care provided in a private residence other than the child's residence)

- a. ☐ Tribal health and safety standards
- b. ☐ State health and safety standards. State(s): [Click or tap here to enter text.](#)

(If both boxes are checked above, CARS will open 2.2.2c.)

- c. If both Tribal and state standards are selected, describe how each type of standard is applied: [Click or tap here to enter text.](#)

2.2.3 In-Home Care (care provided in the child's home)

- a. ☐ Tribal health and safety standards
- b. ☐ State health and safety standards. State(s): [Click or tap here to enter text.](#)

(If both boxes are checked above, CARS will open 2.2.3c.)

- c. If both Tribal and state standards are selected, describe how each type of standard is applied: [Click or tap here to enter text.](#)

2.3 Overview of Monitoring Systems

Use the check boxes below to indicate what entities complete the required monitoring for each category of care. Multiple selections within each category can be selected from the following choices. (98.42(a); 98.42(b); 98.83(d)(2); 98.83(f)(2); 98.81(b)(6)(iii); 98.83(d)(1)(iii)):

- Tribal monitoring: Includes entities designated monitoring responsibilities by the Tribe. This can be within the Tribal organization, Tribal Lead Agency, or another entity (for example, IHS).
- State monitoring: Include all state(s) entities designated monitoring responsibilities by the Tribe.

Note: If multiple boxes are checked in a category of care, describe the combination of monitoring responsibilities. For example, a Tribally operated center could be monitored by one entity and the remaining center-based care options could be monitored by a different entity.

(If only state standards [in 2.2.1, 2.2.2, and 2.2.3] and state monitoring [in 2.3.1, 2.3.2 and 2.3.3] are selected, CARS will skip the Tribal Lead Agency to 2.8.3 and then skip to 2.10 in CARS.)

(If only Tribal standards [in 2.2.1, 2.2.2, and 2.2.3] and Tribal monitoring [in 2.3.1, 2.3.2 and 2.3.3] are selected, Tribal Lead Agencies will complete the remaining questions with one exception: CARS will skip 2.8.3.)

2.3.1 Center-Based Care (group care provided in a facility outside the child's or provider's home)

Check those that apply:

- a. ☐ Tribal Monitoring. List monitoring entity(ies): [Click or tap here to enter text.](#)
- b. ☐ State Monitoring. List state(s) monitoring entity(ies): [Click or tap here to enter text.](#)
- c. (If multiple boxes are checked above, CARS will open 2.3.1c.)
- d. Provide a brief description of the combination of monitoring entities (e.g., describe how more than one of the monitoring entities above are combined or used to ensure comprehensive monitoring of all providers and standards). Describe: [Click or tap here to enter text.](#)

2.3.2 Family Child Care (care provided in a private residence other than the child's residence)

Check those that apply:

- a. ☐ Tribal Monitoring. List monitoring entity(ies): [Click or tap here to enter text.](#)
- b. ☐ State Monitoring. List state(s) monitoring entity(ies): [Click or tap here to enter text.](#)

(If multiple boxes are checked above, CARS will open 2.3.2c.)

- c. Provide a brief description of the combination of monitoring entities (e.g., describe how more than one of the monitoring entities above are combined or used to ensure comprehensive monitoring of all providers and standards). Describe: [Click or tap here to enter text.](#)

2.3.3 In-Home Care (care provided in the child's residence)

Check those that apply:

- a. ☐ Tribal Monitoring. List monitoring entity(ies): [Click or tap here to enter text.](#)
- b. ☐ State Monitoring. List state(s) monitoring entity(ies): [Click or tap here to enter text.](#)
- c. (If multiple boxes are checked above, CARS will open 2.3.3c.)
- d. Provide a brief description of the combination of monitoring entities (e.g., describe how more than one of the monitoring entities above are combined or used to ensure comprehensive monitoring of all providers and standards). Describe: [Click or tap here to enter text.](#)

2.4 Health and Safety Standards and Training

Tribal Lead Agencies are required to establish health and safety standards for all providers of child care services receiving CCDF assistance relating to the topics listed below, as appropriate to the provider

setting and age of the children served (98.41(a)). This requirement is applicable to all child care providers receiving CCDF program funds. Additionally, Tribal Lead Agencies must ensure caregivers, teachers, and directors are trained on health and safety standards during pre-service and/or orientation. Training must cover the required standards that address the health and safety requirements described in 98.41(a) and be appropriate to the provider setting and the age of children served.

In this section, the Tribal Lead Agency will describe health and safety standards that apply to all providers. A standard describes the actions that must be taken by child care providers to ensure the health and safety of children in care. For example, part of a medication administration standard could describe that providers must store a child's prescription medication in the original pharmacy container. These standards are the minimum expectations for providers. Training will be based on the standards and inspections will compare the standards to the practices occurring in the home or center (98.15(a)(7); 98.16(l); 98.16(p); 98.41(a)(1); 98.41(b); 98.44(b)(1)(i); 98.81(b); 98.81(c); 98.83(f)(1)).

- In the first part of each health and safety topic, Tribal Lead Agencies must provide a brief summary or list of components for each standard and any variations based on the category of care and the ages of children served.
- In the second part of each health and safety topic, Tribal Lead Agencies must certify that the training topic is to be completed by providers either pre-service or during an orientation period (to be completed within three months of hire).

2.4.1 Prevention and Control of Infectious Diseases (including immunizations)

- a. Describe the standard and any variations based on category of care and/or ages of children served:
[Click or tap here to enter text.](#)
- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?
☐ Yes.
☐ No.

2.4.2 Prevention of SIDS and the Use of Safe-Sleep Practices

- a. Describe the standard and any variations based on category of care and/or ages of children served:
[Click or tap here to enter text.](#)
- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?
☐ Yes.
☐ No.

2.4.3 Administration of Medication, Consistent with Standards for Parental Control

- a. Describe the standard and any variations based on category of care and/or ages of children served:
[Click or tap here to enter text.](#)

- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

2.4.4 Prevention of and Response to Emergencies Due to Food and Allergic Reactions

- a. Describe the standard and any variations based on category of care and/or ages of children served:
[Click or tap here to enter text.](#)

- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

2.4.5 Safety of Building and Physical Premises

- a. Describe the standard and any variations based on category of care and/or ages of children served:
[Click or tap here to enter text.](#)

- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

2.4.6 Prevention of Shaken Baby Syndrome, Abusive Head Trauma, and Child Maltreatment

- a. Describe the standard and any variations based on category of care and/or ages of children served:
[Click or tap here to enter text.](#)

- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

2.4.7 Emergency Preparedness and Response Planning

- a. Describe the standard and any variations based on category of care and/or ages of children served:
[Click or tap here to enter text.](#)

- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

- c. The Tribal Lead Agency certifies that it has included in its Tribal CCDF Disaster Plan (or for small allocations, in its policies and procedures) standards for disaster procedures including evacuation; relocation; shelter-in-place; lockdown; communication and reunification with families; continuity of operations; accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions; and conducting emergency preparedness training and practice drills for staff and volunteers (98.41(a)(1)(vii)).

☐ Yes.

☐ No.

2.4.8 Handling and Storage of Hazardous Materials and the Appropriate Disposal of Biocontaminants

- a. Describe the standard and any variations based on category of care and/or ages of children served: [Click or tap here to enter text.](#)

- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

2.4.9 Precautions in Transporting Children

Does the Tribal Lead Agency permit providers to transport children?

- a. ☐ No. (Skip to Section 2.4.10.)

- b. ☐ Yes.

- i. Describe the standard and any variations based on category of care and/or ages of children served: [Click or tap here to enter text.](#)

- ii. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

2.4.10 Pediatric First Aid and Cardiopulmonary Resuscitation (CPR)

- a. Describe the standard and any variations based on category of care and/or ages of children served: [Click or tap here to enter text.](#)

- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

2.4.11 Recognition and Reporting of Child Abuse and Neglect

- a. Describe the standard and any variations based on category of care and/or ages of children served: [Click or tap here to enter text.](#)

- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

2.4.12 Child Development

- a. Describe how training addresses child development principles, including the major domains of cognitive, social, emotional, and physical development and approaches to learning and any variations based on category of care and/or ages of children served: [Click or tap here to enter text.](#)

- b. Does the Tribal Lead Agency require training for this standard either during preservice or an orientation period?

☐ Yes.

☐ No.

2.4.13 Additional Standards

In addition to the required health and safety standards, does the Tribal Lead Agency require providers to comply with standards such as those related to nutrition, access to physical activity, care for children with special needs, and any other topic determined to be relevant by the Tribal Lead Agency (98.41(a)(1)(xii))?

Does the Tribal Lead Agency include optional standards in addition to the CCDF-required health and safety topics in its health and safety standards?

☐ No.

☐ Yes. If yes, describe optional topical areas (e.g., nutrition, access to physical activity, caring for children with special needs, or any other areas determined necessary to promote child development or to protect children's health and safety): [Click or tap here to enter text.](#)

2.5 Ongoing Training

Tribal Lead Agencies must have *ongoing training requirements* on the health and safety topics for caregivers, teachers, and directors of children receiving CCDF program funds (98.15(a)(7); 98.16(p); 98.44(b)(2); 98.44(a)(5)).

2.5.1 Ongoing Training

Certify that the Tribal Lead Agency has ongoing training requirements on health and safety topics for caregivers, teachers, and directors of children for each category of care.

☐ Yes.

☐ No.

2.6 Child/Staff Ratios and Group Sizes

Tribal Lead Agencies must have standards for appropriate ratios between children and staff and appropriate group size limits for specific age populations. Tribal Lead Agencies must set requirements for qualifications for providers (98.16(m); 98.41(d)(1); 98.41(d)(2); 98.83(f)(1)).

2.6.1 Age Classifications

Describe how the Tribal Lead Agency defines the following age classifications:

- a. Infant. Describe: [Click or tap here to enter text.](#)
- b. Toddler. Describe: [Click or tap here to enter text.](#)
- c. Preschool. Describe: [Click or tap here to enter text.](#)
- d. School-Age. Describe: [Click or tap here to enter text.](#)

2.6.2 Center-Based Care Child/Staff Ratios and Group Sizes

For center-based care, including Tribally operated centers, provide the maximum ratio and group size for the settings and age groups below:

- a. Infant
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- b. Toddler
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- c. Preschool
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- d. School-Age

- i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- e. Mixed-Age Groups
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)

2.6.3 Family Child Care Child/Staff Ratios and Group Sizes

For family child care, provide the maximum ratio and group size for the settings and age groups below:

- a. Infant
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- b. Toddler
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- c. Preschool
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- d. School-Age
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- e. Mixed-Age Groups
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)

2.6.4 In-Home Care Child/Staff Ratios and Group Sizes

For in-home care, provide the maximum ratio and group size for the settings and age groups below:

- a. Infant
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- b. Toddler
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)

- c. Preschool
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- d. School-Age
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)
- e. Mixed-Age Groups
 - i. Ratio: [Click or tap here to enter staff/Click or tap here to enter children.](#)
 - ii. Group Size: [Click or tap here to enter text.](#)

2.7 Provider Qualifications

Describe the provider qualifications for each of the Tribal Lead Agency's categories of care (98.16(m); 98.41(d)(3); 98.44(a)(4); 98.83(f)(1)).

2.7.1 Center-Based Care (including Tribally operated centers)

- a. Describe provider (caregiver, teacher, etc.) qualifications: [Click or tap here to enter text.](#)
- b. Describe the director qualifications: [Click or tap here to enter text.](#)

2.7.2 Family Child Care

- a. Describe provider (caregiver, teacher, etc.) qualifications: [Click or tap here to enter text.](#)
- b. Describe the director qualifications: [Click or tap here to enter text.](#)

2.7.3 In-Home Care

Describe provider (caregiver, teacher, etc.) qualifications: [Click or tap here to enter text.](#)

2.8 Monitoring and Enforcement

Tribal Lead Agencies must certify that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with all applicable CCDF and Tribal requirements and any applicable state and local health requirements.

This certification may include, but is not limited to, any systems used to ensure that providers met health and safety requirements, any documentation required to be maintained by child care providers, and any other monitoring procedures to ensure compliance. Tribal Lead Agencies are subject to the provision at 98.42(b)(2) to require inspections of child care providers and facilities that receive CCDF program funds.

Licensed CCDF providers must have at least one pre-licensed inspection and at least one unannounced inspection for compliance with health, safety, and fire standards. License-exempt CCDF providers must have at least one annual inspection for compliance with health, safety, and fire standards. The Tribal Lead

Agency must coordinate, to the extent practicable, monitoring efforts with other federal, state, and local agencies that conduct similar inspections.

Note: All relative provider information is entered in Section 2.1.

2.8.1 Annual Inspections of CCDF Providers Policies and Practices

Describe the Tribal Lead Agency's policies and practices for 1) annual inspections of CCDF providers for compliance with 2) health and safety, and 3) fire requirements for the following categories of providers:

- a. Center-based child care (including Tribally operated centers). Describe: [Click or tap here to enter text.](#)
- b. Family child care. Describe: [Click or tap here to enter text.](#)
- c. In-home care. Describe: [Click or tap here to enter text.](#)

2.8.2 Alternative Approach to Inspection Requirements

Does the Tribal Lead Agency have an alternative approach to the inspection requirements at 98.42(b)(2)?

- ☐ Yes. Describe how the alternative approach is appropriately comprehensive and protects the health and safety of children in care: [Click or tap here to enter text.](#)
- ☐ No.

2.9 Monitoring Inspectors

Tribal Lead Agencies must have policies and practices ensuring that individuals who are hired as inspectors or monitors are qualified to inspect child care providers and facilities and have received health and safety training appropriate to the provider setting and age of the children served. Training shall include, but is not limited to, those requirements described in 98.41(a)(1) and all aspects of the requirements detailed in Section 2.1.2 (98.42(b)(1)). The Tribal Lead Agencies must also have policies and practices requiring the ratio of inspectors or monitors to child care providers and facilities to be maintained at a level sufficient to conduct effective inspections of child care providers and facilities on a timely basis in accordance with Tribal, federal, state, and local laws (98.15(b)(10); 98.42(b)(1); 98.42(b)(3); 98.83(f)(2)).

2.9.1 Qualifications for Inspectors or Monitors to Inspect Facilities and Providers

Does the Tribal Lead Agency have procedures in effect to ensure individuals who inspect child care facilities have the expertise, experience, or education, as determined by the Tribal Lead Agency, to comprehensively conduct inspections to protect the health and safety of children in care?

- ☐ Yes.
- ☐ No.

2.9.2 Inspectors or Monitors Training on Health and Safety Requirements

Does the Tribal Lead Agency train inspectors or monitors on health and safety requirements that are appropriate to the age of the children in care and the type of provider setting?

☐ Yes.

☐ No.

2.9.3 Ratio of Inspectors or Monitors to Child Care Providers

Does the Tribal Lead Agency have procedures to ensure the ratio of licensing inspectors to child care providers and facilities is maintained at a level sufficient to enable the Tribe to conduct effective inspections on a timely basis?

☐ Yes.

☐ No.

2.10 Comprehensive Background Checks

Tribal Lead Agencies, regardless of allocation size, are required to conduct comprehensive background checks for employed and prospective staff members of all child care programs eligible to deliver CCDF services.

Comprehensive background check must include three in-state checks, two national checks, and three interstate checks if the individual resided in another state or territory in the preceding five years. The background check components must be completed at least once every five years. Tribal Lead Agencies must describe the methods used for the background check components. For each component, there are preapproved methods that a Tribal Lead Agency may use, or Tribal Lead Agencies may use alternative approaches in addition to or instead of preapproved methods (98.16(o); 98.43(b); 98.83(d)(3); 98.83(f)(3)).

Tribes may use alternative approaches instead of the preapproved methods. Tribes may propose an alternative approach for assessing criminal history, sex offender status, and child abuse and neglect history. The alternative approach is subject to ACF approval, and ACF will not approve approaches with blanket exemptions that bypass the intent of protecting children's safety.

Pre-approved Methods for In-State Checks

The preapproved methods for in-state background and interstate checks are (1) the Tribal Lead Agency conducts the check through a state agreement and/or has direct access to a state's database, records, or registry, or (2) a state conducts the checks on behalf of the Tribal Lead Agency.

Alternative Approaches for the In-State Checks

Tribal Lead Agencies may use name-based checks of Tribal or state record management systems, repositories, or registries as an alternative approach for the in-state and inter-state checks. Tribes may also use the services of a third party vendor as an alternative approach to conduct various checks. At minimum, the Tribe background check approach must include an attempt to determine the criminal history, sex offender history, and child abuse and neglect history of an individual. In some instances, this may look like (1) at least one check of any available criminal registry (e.g., FBI fingerprint check, state criminal registry, or Tribal criminal registry/records); (2) at least one check of any available sex offender registry (national, state, online, or Tribal sex offender registry/records), and (3) at least one check of a state or Tribal child abuse and neglect registry/records.

Pre-approved Methods for Interstate Checks

The preapproved methods for interstate background checks are (1) the Tribal Lead Agency conducts the check through a state agreement and/or has direct access to a state's database, records, or registry or (2) a state conducts the checks on behalf of the Tribal Lead Agency.

Alternative Approaches for the Interstate Checks

Tribal Lead Agencies may use name-based checks of Tribal or state record management systems, repositories, or registries as an alternative approach for the in-state and inter-state checks. Tribes may also use the services of a third party vendor as an alternative approach to conduct various checks. At minimum, the Tribe background check approach must include an attempt to determine the criminal history, sex offender history, and child abuse and neglect history of an individual. In some instances, this may look like (1) at least one check of any available criminal registry (e.g., FBI fingerprint check, state criminal registry, or Tribal criminal registry/records); (2) at least one check of any available sex offender registry (national, state, online, or Tribal sex offender registry/records), and (3) at least one check of a state or Tribal child abuse and neglect registry/records.

Pre-approved Methods for the FBI Fingerprint Check

The pre-approved methods for Tribes to access the FBI fingerprint check are through (1) a state repository (through an MOU/MOA or state agreement), (2) U.S. Department of Justice Tribal Access Program (TAP), (3) an FBI-approved channeler, and (4) fingerprint sent directly to the FBI (i.e., submitting hard-copy fingerprint cards through the U.S. mail).

Alternative Approaches for the FBI Fingerprint Check

Tribal Lead Agencies may use name-based checks of Tribal or state record management systems, or third party vendors, etc. for the FBI fingerprint check when one of the four preapproved methods is not available or feasible. Tribal Lead Agencies must describe the barriers to conducting required checks using approved methods and how the alternative approach for background checks described in Section 2.11 is comprehensive and ensures the health and safety of children in child care (98.16(o); 98.83(d)(3)).

Pre-approved Methods for the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) Name-based Search

The preapproved methods for Tribes to access the NCIC NSOR Name-based Search are (1) the Tribal Lead Agency conducts the check through a state agreement and/or has access to a state system to conduct the check or (2) a state conducts the check on behalf of the Tribe.

Alternative Approaches for the FBI Fingerprint Check

Tribal Lead Agencies may use name-based checks of Tribal or state record management systems, or third party vendors, etc. for the FBI fingerprint check when one of the four preapproved methods is not available or feasible. Tribal Lead Agencies must describe the barriers to conducting required checks using approved methods and how the alternative approach for background checks described in Section 2.11 is comprehensive and ensures the health and safety of children in child care (98.16(o); 98.83(d)(3)).

This is a repeat of paragraph above.

2.10.1 Comprehensive Background Checks

Does the Tribal Lead Agency use preapproved methods for all of the eight required components of the comprehensive background checks?

- ☐ Yes. If using a state system, list the state(s): [Click or tap here to enter text.](#)
- ☐ No.

(If does not list a state, the TLA must answer questions 2.12-2.18.)

2.11 Comprehensive Background Check Methods

Comprehensive background check requirements apply to any staff member who is employed by a child care provider for compensation, including contract staff member and self-employed individuals, whose activities involve the care or supervision of children, or who has unsupervised access to children (98.43(a)(2)).

For the following questions, select whether the Tribal Lead Agency uses only a preapproved method, only an alternative method, or a combination of preapproved and alternative methods for each component of the comprehensive background check. If using only alternative approaches or a combination of approved and alternative methods, select to which categories of care this approach applies and complete question b describing the alternative approach. Include Tribally operated centers, Tribally regulated providers, and state license-exempt providers when selecting answers below. *Note: Relative background check methods are described in Section 2.1 (98.16(o); 98.43(b); 98.83(d)(3); 98.83(f)(3)).*

(If “only a preapproved method” is checked in 3.11.1 to 3.11.8, CARS skips to next question. Example 3.11.1 has “only a preapproved method” so skip to 3.12.1)

2.11.1 Criminal Registry or Repository Using Fingerprints in the Current State of Residency

- a. What method does the Tribal Lead Agency use for this check?
- i. ☐ Only a preapproved method for all categories of care
 - ii. ☐ Only an alternative approach for all categories of care
 - iii. ☐ A combination of preapproved methods and alternative approaches. Alternative approaches are used for the following categories:
 - A. ☐ Center-based care
 - B. ☐ Family child care
 - C. ☐ In-home care
- b. Check the alternative approach used for the identified categories of care:
- i. ☐ Tribal database or repository. Describe each unique database, registry, or repository: [Click or tap here to enter text.](#)
 - ii. ☐ Third-party vendor
 - iii. ☐ Other. Describe: [Click or tap here to enter text.](#)
 - iv. Describe how the alternative approach described is comprehensive and ensures the health and safety of children in child care. [Click or tap here to enter text.](#)
- c. What are the issues or barriers preventing the Tribal Lead Agency from conducting the required comprehensive background checks using approved methods? Check those that apply:

- i. ☐ No existing formal or informal MOU or MOA with a state.
- ii. ☐ Other. Describe: [Click or tap here to enter text.](#)
- d. Describe how the alternative approach is comprehensive and ensures the health and safety of children in child care: [Click or tap here to enter text.](#)

2.11.2 Sex Offender Registry or Repository Check in the Current State of Residency

- a. What method does the Tribal Lead Agency use for this check?
 - i. ☐ Only a preapproved method for all categories of care
 - ii. ☐ Only an alternative approach for all categories of care
 - iii. ☐ A combination of preapproved methods and alternative approaches. Alternative approaches are used for the following categories:
 - A. ☐ Center-based care
 - B. ☐ Family child care
 - C. ☐ In-home care
- b. Check the alternative approach used for the identified categories of care:
 - i. ☐ Tribal database or repository. Describe each unique database, registry, or repository: [Click or tap here to enter text.](#)
 - ii. ☐ Third-party vendor
 - iii. ☐ Other. Describe: [Click or tap here to enter text.](#)
- c. What are the issues or barriers preventing the Tribal Lead Agency from conducting the required comprehensive background checks using approved methods? Check those that apply:
 - i. ☐ No existing formal or informal MOU or MOA with a state.
 - ii. ☐ Other. Describe: [Click or tap here to enter text.](#)
- d. Describe how the alternative approach is comprehensive and ensures the health and safety of children in child care: [Click or tap here to enter text.](#)

2.11.3 Child Abuse and Neglect Registry and Database Check in the Current State of Residency

- a. What method does the Tribal Lead Agency use for this check?
 - i. ☐ Only a preapproved method for all categories of care
 - ii. ☐ Only an alternative approach for all categories of care
 - iii. ☐ A combination of preapproved methods and alternative approaches. Alternative approaches are used for the following categories:
 - A. ☐ Center-based care

B. ☐ Family child care

C. ☐ In-home care

b. Check the alternative approach used for the identified categories of care:

i. ☐ Tribal database or repository. Describe each unique database, registry, or repository: [Click or tap here to enter text.](#)

ii. ☐ Third-party vendor

iii. ☐ Other. Describe: [Click or tap here to enter text.](#)

c. What are the issues or barriers preventing the Tribal Lead Agency from conducting the required comprehensive background checks using approved methods? Check those that apply:

i. ☐ No existing formal or informal MOU or MOA with a state.

ii. ☐ Other. Describe: [Click or tap here to enter text.](#)

Describe how the alternative approach is comprehensive and ensures the health and safety of children in child care: [Click or tap here to enter text.](#)

2.11.4 Criminal Registry or Repository **Using Fingerprints** in the Previous State of Residency

Use of fingerprints is optional for interstate criminal history checks.

a. What method does the Tribal Lead Agency use for this check?

i. ☐ Only a preapproved method for all categories of care

ii. ☐ Only an alternative approach for all categories of care

iii. ☐ A combination of preapproved methods and alternative approaches. Alternative approaches are used for the following categories:

A. ☐ Center-based care

B. ☐ Family child care

C. ☐ In-home care

b. Check the alternative approach used for the identified categories of care:

i. ☐ Tribal database or repository. Describe each unique database, registry, or repository: [Click or tap here to enter text.](#)

ii. ☐ Third-party vendor

iii. ☐ Other. Describe: [Click or tap here to enter text.](#)

c. What are the issues or barriers preventing the Tribal Lead Agency from conducting the required comprehensive background checks using approved methods? Check those that apply:

i. ☐ No existing formal or informal MOU or MOA with a state.

ii. ☐ Other. Describe: [Click or tap here to enter text.](#)

d. Describe how the alternative approach is comprehensive and ensures the health and safety of children in child care: [Click or tap here to enter text.](#)

2.11.5 Sex Offender Registry or Repository Check in the Previous State of Residency

- a. What method does the Tribal Lead Agency use for this check?
 - i. ☐ Only a preapproved method for all categories of care
 - ii. ☐ Only an alternative approach for all categories of care
 - iii. ☐ A combination of preapproved methods and alternative approaches. Alternative approaches are used for the following categories:
 - A. ☐ Center-based care
 - B. ☐ Family child care
 - C. ☐ In-home care
- b. Check the alternative approach used for the identified categories of care:
 - i. ☐ Tribal database or repository. Describe each unique database, registry, or repository: [Click or tap here to enter text.](#)
 - ii. ☐ Third-party vendor
 - iii. ☐ Private or public sex offender registry
 - iv. ☐ Other. Please describe: [Click or tap here to enter text.](#)
- c. What are the issues or barriers preventing the Tribal Lead Agency from conducting the required comprehensive background checks using approved methods? Check those that apply:
 - i. ☐ No existing formal or informal MOU or MOA with a state.
 - ii. ☐ Other. Describe: [Click or tap here to enter text.](#)
- d. Describe how the alternative approach is comprehensive and ensures the health and safety of children in child care: [Click or tap here to enter text.](#)

2.11.6 Child Abuse and Neglect Registry and Database Check in the Previous State of Registry

- a. What method does the Tribal Lead Agency use for this check?
 - i. ☐ Only a preapproved method for all categories of care
 - ii. ☐ Only an alternative approach for all categories of care
 - iii. ☐ A combination of preapproved methods and alternative approaches. Alternative approaches are used for the following categories:
 - A. ☐ Center-based care
 - B. ☐ Family child care
 - C. ☐ In-home care
- b. Check the alternative approach used for the identified categories of care:

- i. ☐ State or Tribal database or repository. Describe each unique database, registry, or repository: [Click or tap here to enter text.](#)
- ii. ☐ Third-party vendor
- iii. ☐ Other. Please describe: [Click or tap here to enter text.](#)
- c. What are the issues or barriers preventing the Tribal Lead Agency from conducting the required comprehensive background checks using approved methods? Check those that apply:
 - i. ☐ No existing formal or informal MOU or MOA with a state.
 - ii. ☐ Other. Describe: [Click or tap here to enter text.](#)
- d. Describe how the alternative approach is comprehensive and ensures the health and safety of children in child care: [Click or tap here to enter text.](#)

2.11.7 Federal Bureau of Investigation (FBI) Fingerprint Check

- a. What method does the Tribal Lead Agency use for this check?
 - i. ☐ Only a preapproved method for all categories of care
 - A. ☐ State agreement
 - B. ☐ FBI-Approved 92-544 Law
 - C. ☐ U.S. Department of Justice (DOJ) Tribal Access Program (TAP)
 - D. ☐ FBI-approved channeler
- Mail Direct to FBI
- ii. ☐ Only an alternative approach for all categories of care
- iii. ☐ A combination of preapproved methods and alternative approaches. Alternative approaches are used for the following categories:
 - A. ☐ Center-based care
 - B. ☐ Family child care
 - C. ☐ In-home care
- b. Check the alternative approach used for the identified categories of care:
 - i. ☐ State or Tribal database or repository. Describe each unique database, registry, or repository: [Click or tap here to enter text.](#)
 - ii. ☐ Third-party vendor
 - iii. ☐ Other. Describe: [Click or tap here to enter text.](#)
- c. What are the issues or barriers preventing the Tribal Lead Agency from conducting the required comprehensive background checks using approved methods? Check those that apply:
 - i. ☐ No direct authority under the CCDF statute to conduct an FBI fingerprint check.

- ii. ☐ Other. Describe: [Click or tap here to enter text.](#) *Click or tap here to enter text.*
- d. Describe how the alternative approach is comprehensive and ensures the health and safety of children in child care: [Click or tap here to enter text.](#)

2.11.8 National Crime Information Center National Sex Offender Registry Name-Based Search

- a. What method does the Tribal Lead Agency use for this check?
 - i. ☐ Only a preapproved method for all categories of care
 - ☐ State agreement
 - ii. ☐ Only an alternative approach for all categories of care
 - iii. ☐ A combination of preapproved methods and alternative approaches. Alternative approaches are used for the following categories:
 - A. ☐ Center-based care
 - B. ☐ Family child care
 - C. ☐ In-home care
- b. Check the alternative approach used for the identified categories of care:
 - i. ☐ Private or public sex offender registry. Describe: [Click or tap here to enter text.](#)
 - ii. ☐ FBI fingerprint check (which includes an automatic check the of the NCIC NSOR fingerprint records)
 - iii. ☐ Third-party vendor
 - iv. ☐ Other. Describe: [Click or tap here to enter text.](#)
- c. What are the issues or barriers preventing the Tribal Lead Agency from conducting the required comprehensive background checks using approved methods? Check those that apply:
 - i. ☐ Does not have the authority under the CCDF statute to conduct a NCIC NSOR name-based search.
 - ii. ☐ Other. Describe: [Click or tap here to enter text.](#)
- d. Describe how the alternative approach is comprehensive and ensures the health and safety of children in child care: [Click or tap here to enter text.](#)

2.12 Household Members in Family Child Care

For family child care, the comprehensive background check requirement includes the caregiver and household members (i.e., any other adults residing in the family home child care who are age 18 or older). ACF will consider an alternative approach for limiting the background checks for household members to the extent practicable. ACF will not approve alternative approaches that do not include any background checks for other adults in family child care. As stated in the preamble of the 2016 CCDF Final Rule (81 FR 67542-43), OCC expects that Tribal Lead Agencies will conduct some components of a background check for these individuals; for example, a check of Tribal criminal history records. Tribal Lead Agencies who use

this alternative approach must indicate which background checks apply to household members and must justify the alternative approach (98.16(o); 98.43(a)(2)(ii)(C); 98.43(b); 98.83(d)(3); 98.83(f)(3).

(CARS skips this for those who are only using state systems for comprehensive background checks.)

2.12.1 Household Members

What comprehensive background check components are required for family child care household members over 18 years of age?

(CARS only allows one of the two options. If A combination is selected, the TLA must answer 2.12.2)

- ☐ All eight required components.
- a. ☐ A combination of the following components. Check those that apply in the current state of residency:
- b. ☐ Criminal registry or repository.
- ☐ with fingerprints.
- ☐ without fingerprints.
- c. ☐ Criminal registry or repository without fingerprints.
- d. ☐ Sex offender registry or repository check.
- e. ☐ Child abuse and neglect registry and database check.
- Interstate background checks:
- f. ☐ Criminal registry or repository using fingerprints. fingerprints optional.
- g. ☐ Sex offender registry or repository check.
- h. ☐ Child abuse and neglect registry and database check.
- National background check:
- i. ☐ Federal Bureau of Investigation (FBI) fingerprint check.
- j. ☐ National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) name-based search.

2.12.2 Alternative Approach for Household Members

Describe how the alternative approach is comprehensive and ensures the health and safety of children:
[Click or tap here to enter text.](#)

2.13 Disqualifying Crimes for Employment Eligibility

The Tribal Lead Agency must find child care staff members (including prospective child care staff members) **ineligible** for employment or to deliver services if convicted **of any of** the following crimes specified in 98.43(c)(1)(iv): 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 preceding 5 years, or has been convicted of a should specify a felony consisting of...

violent misdemeanor committed as an adult against a child, including the following crimes: child abuse, child endangerment, and sexual assault, or of any misdemeanor involving child pornography.

The Tribal Lead Agency must also find a child care staff member or prospective child care staff member **ineligible** for employment for any ineligibility components in 98.43(c)(1)(i) through 98.43(c)(1)(iii):

- refuses to consent to a background check,
- knowingly makes materially false statements in connection with the background check, or
- is registered, or is required to be registered, on the state/territory sex offender registry or repository or the National Sex Offender Registry (NSOR) (98.16(o); 98.43(h); 98.83(d)(3); 98.83(f)(3)).

(CARS skips this for those who are only using state systems for comprehensive background checks.)

2.13.1 Disqualifying Crimes for Employment Eligibility

- a. Does the Tribal Lead Agency find child care staff members or prospective child care staff members **ineligible** for employment or to deliver services based on their conviction for crimes and other factors listed in 98.43(c)(1)?

☐ Yes.

☐ No.

- b. Does the Tribal Lead Agency have additional crimes for which it finds child care staff members **ineligible** for employment or to deliver services?

☐ Yes. List additional disqualifying crimes: [Click or tap here to enter text.](#)

☐ No.

2.13.2 Alternative Approach for Disqualifying Offenses

Does the Tribal Lead Agency use an alternative approach that implements a less than lifetime ban for offenses that are not crimes against children (98.16(o); 98.83(d)(3))?

ACF will consider alternative approaches where the Tribal Lead Agency implements less than a lifetime ban for offenses that are not crimes against children. Tribes may adopt an individualized review process for determining employment eligibility for those convicted of crimes that are not crimes against children. Include Tribally operated centers and state license-exempt providers when selecting answers below. **(CARS skips this for those who are only using state systems for comprehensive background checks.)**

☐ No.

☐ Yes. Describe the approach used and how the approach is comprehensive and ensures the health and safety of children in care: [Click or tap here to enter text.](#)

2.14 Fees

The Tribal Lead Agency may not charge fees that exceed the actual costs of processing applications and administering a comprehensive background check, regardless of whether they are conducted by the Tribe, a state, or a third-party vendor or contractor (98.16(o); 98.43(f); 98.83(d)(3); 98.83(f)(3)).

(CARS skips this for those who are only using state systems for comprehensive background checks.)

2.14.1 Fees

Does the Tribal Lead Agency ensure that fees charged for completing the background check reflect the actual cost of processing and administration?

- ☐ Yes. If yes, describe the cost to the Tribal Lead Agency of processing and administering the background check and the amount charged to the applicant: [Click or tap here to enter text.](#)
- ☐ No.
- ☐ Not applicable

2.15 Timeliness in Returning the Results

The Tribal Lead Agency must conduct the comprehensive background checks as quickly as possible and provide the results of the comprehensive background check to the provider and to the current or prospective staff member within 45 days after the date the provider submitted the request.

ACF will consider alternative approaches in the event that one or more of the components of a comprehensive background check are not complete within the required 45 days. Tribal Lead Agencies have the flexibility to make employment eligibility decisions in the event that not all background check components are completed within 45 days.

(CARS skips this for those who are only using state systems for comprehensive background checks.)

2.15.1 Timeliness in Returning the Results

- a. Does the Tribal Lead Agency, for all categories of care, provide background check results to the provider and current or prospective staff member within 45 days (98.16(o); 98.43(e)(1); 98.83(d)(3); 98.83(f)(3))?

- ☐ Yes.
- ☐ No.

(CARS, if the TLA chooses no, b. and c. should be answered, otherwise skip to 2.16)

- b. Describe the barriers to providing background check results to the provider and current or prospective staff member within 45 days [Click or tap here to enter text.](#)

2.16 Provisional Employment

Prospective staff are permitted to be provisionally hired after receiving a qualifying result from either the FBI fingerprint-based criminal history record check or the state fingerprint criminal history check while awaiting results from the remaining background check components, [a provisional hire may work with children but must be supervised by a staff member who has received qualifying results on all background checks within the past 5 years.](#) OCC will consider alternative approaches, submitted as part of the Tribe's [Add a period after Components.](#)

CCDF Plan, that allow for staff members to be provisionally hired once the background check request has been submitted, but prior to receiving results of the check.

2.16.1 Provisional Hire Supervision

a. Does the Tribal Lead Agency permit provisional employment?

☐ No.

☐ Yes.

(CARS: If no, skip to 2.17. If yes, answer b. and c.)

b. Does the Tribal Lead Agency require a prospective staff member to be supervised by staff with a qualifying result for the comprehensive background check while awaiting results from the other components of the comprehensive background check?

☐ No.

☐ Yes.

(CARS if the answer to b. is no, the TLA should complete i. otherwise skip to c)

i. Describe the alternative approach used and how the approach is comprehensive and ensures the health and safety of children in care.

☐ No.

☐ Yes.

c. Does the Tribal Lead Agency require a qualifying result from the FBI fingerprint check or State/Tribal criminal check s before a prospective child care staff member begins work with children?

☐ No.

☐ Yes.

(CARS if the answer to c. is yes, the TLA should complete i. otherwise skip to 2.17.)

i. Describe the barriers to waiting for qualifying results of an FBI fingerprint check or State/Tribal criminal registry check prior to hiring a prospective staff member to begin working under supervision. [Click or tap here to enter text.](#)

2.17 Privacy of Comprehensive Background Check Results

Tribal Lead Agencies must ensure privacy by providing the results of the background check to the child care provider (i.e., employer) in a statement that only indicates whether a child care staff member (including staff member, prospective staff member, or household member) is eligible or ineligible for employment, without revealing any documentation of criminal history, disqualifying crimes, or other related information regarding the individual. The Tribal Lead Agency may not publicly release the results of individual background checks. It may release aggregated data by crime as long as the data do not include personally identifiable information (98.43(e)(2)(iii)).

ACF will consider alternative approaches that allow some information to be shared with the child care provider. *Note: This provision is subject to limitations in FBI policy and state or Tribal privacy requirements, which may prevent the release of information.* Tribal Lead Agencies must justify any alternative approach (98.16(o); 98.43(e)(2); 98.83(d)(3); 98.83(f)(3)).

(CARS skips this for those who are only using state systems for comprehensive background checks.)

2.17.1 Privacy of Comprehensive Background Check Results

Does the Lead Agency certify it provides the results of the comprehensive background check to the provider without revealing any specific criminal history about the prospective staff member?

☐ Yes.

☐ No. If no, describe the current process of notification and the justification for the alternative approach: [Click or tap here to enter text.](#)

2.18 Appeals for Child Care Staff

Tribal Lead Agencies must provide for a process that allows an individual (including staff member, child care staff member, prospective staff member, or household member) to appeal the results of a background check to challenge the accuracy or completeness of the information contained in the individual's background check report (98.16(o); 98.43(e)(2)(ii); 98.43(e)(3); 98.43(e)(4); 98.83(d)(3); 98.83(f)(3)).

(CARS skips this for those who are only using state systems for comprehensive background checks.)

2.18.1 Appeal Instructions

Does the appeals process provide, to the individual with disqualifying results, in writing:

- information related to each disqualifying crime in a report.
- clear instructions about how to complete the appeals process for each background check component if they wish to challenge.
- information on how the individual can correct the records at issue in the case.

☐ Yes.

☐ No.

2.18.2 Appeal Accuracy

Does the Tribal Lead Agency attempt to verify the accuracy of the information challenged by the individual, including making an effort to locate any missing disposition information related to the disqualifying crime?

☐ Yes.

☐ No.

2.18.3 Felony Drug Offense Review Process

Describe whether the Tribal Lead Agency has a review process for a felony drug offense to determine if that individual is still eligible for employment: [Click or tap here to enter text.](#)

3 Quality Improvement

The quality of child care directly affects children’s safety and healthy development while in care settings, and high-quality child care can be foundational across the lifespan. Tribal CCDF quality funds can be used in a broad variety of ways to improve the quality of child care for all children in care in the service area, including for culturally relevant activities to meet the unique needs of Tribal children, families, and communities. Tribal Lead Agencies may use CCDF for quality improvement activities for all children in care, not just those receiving child care subsidies.

Required Minimum for Quality Spending (As of FY 2024)		
	Tribal Lead Agencies with Small Allocations	Tribal Lead Agencies with Medium and Large Allocations
Quality Set-Aside	9%	9%
Infant-Toddler	NA	3%
Total Quality	9%	12%

All Tribal Lead Agencies are subject to a 9-percent quality set-aside requirement.

Tribal Lead Agencies must report on CCDF child care quality improvement investments in three ways:

- In this Plan, Tribal Lead Agencies will describe the types of activities supported by quality investments over the 3-year period.
- In the CCDF ACF-696T Financial Report, Tribal Lead Agencies will provide data on how much CCDF funding is spent on quality activities. This report will be used to determine compliance with required quality and infant and toddler spending requirements (infant and toddler quality spending requirements apply to medium and large allocation Tribal Lead Agencies).
- In the CCDF Tribal Annual Report Form ACF-700 for Tribal Lead Agencies, Tribal Lead Agencies will provide aggregate information on services provided under CCDF and how CCDF program dollars are being spent to deliver child care services to eligible children and families. It includes a Tribal narrative that requires information about quality improvement efforts the Tribal Lead Agency funded during the federal fiscal year.

3.1 Quality Activities Needs Assessment Methodology

3.1.1 Quality Activities Needs Assessment Methodology

How did the Tribal Lead Agency assess needs to identify goals and activities to improve quality? Check those that apply:

a. ☐ Parent, family, community, or Tribal meetings

b. ☐ Self-assessments

c. ☐ Surveys to families, providers, and Tribal leadership

- d. ☐ Site visits and/or monitoring inspection visits
- e. ☐ Community assessments
- f. ☐ Other. Describe: [Click or tap here to enter text.](#)

3.2 Quality Improvement Goals and Activities

CCDF quality set-aside funds must be used on **at least one of the ten activities** describes in CCDF regulations, and may include supporting preservation and revitalization of Indigenous language and culture in child care program. The quality activities must be aligned with the Tribal Lead Agency's assessment of the service area's need to carry out such services and care. The Tribal Lead Agency should describe activities currently underway, planned, or expected during the 3-year Plan period.

3.2.1 Quality Improvement Activities

Identify the Tribal Lead Agency's plans to spend CCDF funds for selected quality improvement activities.

Check at least one quality activity:

- a. ☐ **Training and Professional Development:** This category supports the training and professional development of the child care workforce. For example, the Tribal Lead Agency could fund training for required health and safety training topics, language and literacy, promotion of child development, family engagement, implementation of developmentally appropriate and culturally and linguistically responsive instruction, or more.

Briefly describe current and planned future investments: [Click or tap here to enter text.](#)

- b. ☐ **Early Learning and Developmental Guidelines:** This category supports developing, maintaining, or implementing early learning and developmental guidelines. For example, the Tribal Lead Agency could fund staff trainings on child development and early learning guidelines, use of the state's early learning guidelines, development or implementation of the Tribal Lead Agency's own Tribally specific guidelines, or more.

Briefly describe current and planned future investments: [Click or tap here to enter text.](#)

- c. ☐ **Quality Rating and Improvement Systems:** This category supports developing, implementing, or enhancing a quality improvement system. For example, the Tribal Lead Agency could fund participation in a state QRIS, collaboration with other Tribes to implement a QRIS or similar rating system, development of a Tribal QRIS or similar rating system, or more.

Briefly describe current and planned future investments: [Click or tap here to enter text.](#)

- d. ☐ **Supply and Quality of Services for Infants and Toddlers:** This category supports improving the supply and quality of child care services for infants and toddlers. For example, the Tribal Lead Agency could fund training and professional development to enhance child care providers' abilities to provide developmentally appropriate services for infants and toddlers, Indigenous language and culturally responsive practices for infants and toddlers, transparent and easy-to-understand consumer information about high-quality infant-toddler care that includes information on infant-toddler language, social-emotional, and early literacy and numeracy cognitive development, or more.

Briefly describe current and planned future investments: [Click or tap here to enter text.](#)

- e. ☐ **Child Care Resource and Referral Services:** This category supports establishing or expanding a system of CCR&R services. For example, the Tribal Lead Agency could fund partnerships with other Tribes to offer CCR&R services, incorporation of CCR&R services into the family intake process, use of a state CCR&R, or more.
- Briefly describe current and planned future investments: [Click or tap here to enter text.](#)
- f. ☐ **Licensing, Inspection, Monitoring, Training, Health, and Safety:** This category supports facilitating compliance with Tribal child care licensing, monitoring, inspection, and health and safety standards. For example, the Tribal Lead Agency could fund health and safety materials/equipment (e.g., carbon monoxide detectors, fencing, personal protective equipment), classroom materials and resources, conducting monitoring visits of child care providers, or more.
- Briefly describe current and planned future investments: [Click or tap here to enter text.](#)
- g. ☐ **Evaluating the Quality of Child Care Programs:** This category supports evaluating the quality of child care programs, including how programs positively impact children. For example, the Tribal Lead Agency could purchase quality assessment tools, implement surveys to collect provider or family input, conduct internal training on the use of quality evaluations, or more.
- Briefly describe current and planned future investments: [Click or tap here to enter text.](#)
- h. ☐ **Supporting Providers in the Voluntary Pursuit of Accreditation:** This category supports accreditation by an accrediting body with demonstrated, valid, and reliable program standards of high quality. For example, the Tribal Lead Agency could use accreditation guidelines as a quality measure, fund any aspect of national accreditation (e.g., accreditation from the National Association for the Education of Young Children or National Association for Family Child Care, or accreditation developed by a Tribal association), pay annual accreditation fees, or more.
- Briefly describe current and planned future investments: [Click or tap here to enter text.](#)
- i. ☐ **High-Quality Program Standards:** This category supports Tribal or local efforts to develop or adopt high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development. For example, the Tribal Lead Agency could use Minimum Health and Safety Standards: A Guide for American Indian and Alaska Native CCDF Grantees, Caring for Our Children, Head Start Program Performance Standards, or more to develop or adopt high-quality program standards.
- Briefly describe current and planned future investments: [Click or tap here to enter text.](#)
- j. ☐ **Other Measurable Quality Improvement Activities:** This category supports other activities the Tribal Lead Agency will engage in to improve the quality of child care services and the measurement of outcomes related to improved provider preparedness, child safety, child well-being, or kindergarten entry, including culturally relevant quality activities. For example, the Tribal Lead Agency could incorporate Tribal language into child care settings, offer culturally based training opportunities for families and providers, serve traditional Indigenous foods in child care programs, fund written materials, including newsletters, brochures, and checklists on child care topics, develop or participate in the Tribal Early Learning Initiative (TELI), or more. For more information about TELI, see Appendix 2.
- Briefly describe current and planned future investments: [Click or tap here to enter text.](#)

4 Part II: Direct Services (Tribal Lead Agencies with Small Allocations)

Tribal Lead Agencies with small allocations have the flexibility to use their CCDF funds to meet the needs of children, families, and child care providers in their community as long as they meet the allowable purposes of CCDF (98.1).

Tribal Lead Agencies with small allocations do not have to offer direct services to children through a family subsidy program—all CCDF program funds can be expended on quality activities.

4.1 Direct Child Care Services

4.1.1 Direct Child Care Services

Indicate if this Tribal Lead Agency will offer direct child care services.

Check the appropriate box below:

- ☐ No. The Tribal Lead Agency will not be offering direct child care services. This concludes the abbreviated plan for Tribal Lead Agencies with small allocations. **(CARS completes the Plan.)**
- ☐ Yes. The Tribal Lead Agency will offer direct child care services.

4.2 Direct Child Care Methods

4.2.1 Direct Child Care Methods

CCDF direct services may be provided through a subsidy program in which the Tribal Lead Agency offers certificates for families to use in any approved child care setting; through a Tribally operated center; or through grants or contracts that allocate slots with a provider who offers child care services.

In Section 1, the Tribal Lead Agency selected the categories of care offered to the children and families within the service area. The selected categories from Section 1.9 are listed below. **(CARS will populate the selection from Section 1.9.)**

- ☐ Center-based child care
- ☐ Family child care
- ☐ In-home child care

4.2.2 Funding Mechanisms

a. How does the Tribal Lead Agency provide direct child care services? Check those that apply:

- ☐ Certificates and vouchers
- ☐ Grants or contracts with approved child care providers (e.g., the Tribal Lead Agency uses grants or contracts for child care slots to increase the supply and prioritize children in underserved areas, infants and toddlers, children with disabilities [as defined by the Tribal Lead Agency], and children who receive care during nontraditional hours and/or to improve quality of child care programs)
- ☐ Tribally operated center

- b. Does the Tribal Lead Agency provide child care services exclusively through one or more Tribally operated centers?
- ☐ Yes.
- ☐ No.

4.3 Application for Services and Eligibility Criteria

Tribal Lead Agency with small allocations have the flexibility to provide direct services and define requirements that meet the needs of children and families in their communities. *Note: Eligible children must meet the Tribal Lead Agency's definition of Indian Child and reside in the designated service area as defined in Section 1, but these requirements do not have to meet CCDF direct services criteria.*

4.3.1 Eligibility Criteria

Describe the Tribal Lead Agency's process for determining eligibility. [Click or tap here to enter text.](#)

4.4 Payment Rates

(CARS will skip this question if they check that they only provide services through a Tribally operated center.)

Note: Tribal Lead Agencies with small allocations have flexibility to define payment rates, and these requirements do not have to meet CCDF direct services criteria.

4.4.1 Provider Payments

Describe the Tribal Lead Agency's process for ensuring providers are paid and how the payment amounts are determined. [Click or tap here to enter text.](#)

The application for Tribal Lead Agencies with small allocations ends here.

(CARS ends the application.)

5 Part III: Stable Child Care Financial Assistance (Tribal Lead Agencies with Medium and Large Allocations)

In this section, Tribal Lead Agencies will identify how they define eligible children and families and how the Tribal Lead Agency's eligibility and enrollment policies support equal access for eligible children and families.

5.1 Basis for Determining Eligibility

Tribal Lead Agencies with large and medium allocations must include the basis for determining family eligibility in addition to children meeting the definition of Indian child in 1.1.1 and live within the service area in 1.2.1, through one of two options or a combination of both, as described below.

Standard Eligibility: Tribal Lead Agencies must determine eligibility for services pursuant to the criteria found in 98.20(a) and 98.81(b)(1)(ii). When eligibility is determined, children must (1) be under age 13; (2)(a) reside with a family whose income does not exceed 85 percent of the Grantee Median Income (GMI) for a family of the same size and (2)(b) reside with a family whose assets do not exceed \$1,000,000 (as certified by such family member); and (3)(a) reside with a parent who is working or attending a job training or an educational program or (3)(b) receive or need to receive protective services.

Categorical Eligibility: If 100 percent of the Tribe's Median Income (TMI) is below 85 percent of the state Median Income (SMI), the Tribal Lead Agency has the **option** to consider any Indian child in the Tribe's service area to be eligible to receive CCDF program funds, regardless of a family's income, work, education, or training status, provided that the provision for services still goes to those with the highest need (98.81(b)(1)(i)). Tribal Lead Agencies that use categorical eligibility must still ensure that children meet the Tribe's Indian child and service area definitions to be eligible for services. Tribal Lead Agencies that use categorical eligibility may create opportunities to align or partner CCDF programs with other Tribal early childhood programs, including Tribal home visiting, Early Head Start, Head Start, state-funded PreK, and Tribally funded PreK.

Tribal Lead Agencies that elect to use categorical eligibility will receive the same funding allocation as if they had chosen to use standard eligibility thresholds. Additional funds will not be allocated.

Combination of Categorical and Standard Eligibility: Tribal Lead Agencies that have chosen to use categorical eligibility as the basis for determining a child's eligibility have the flexibility to use categorical eligibility and have additional eligibility criteria. For example, Tribal Lead Agencies may choose to require an eligible activity or reason for care along with meeting the definition of Indian child and living in the service area to prioritize working parents or parents attending an educational program or choose to implement protective service eligibility requirements as a way to prioritize those children for enrollment. Additionally, Tribal Lead Agencies could choose to cap income above 85% of Grantee Median Income (GMI) at a level such as 100% or 150% GMI in order to serve higher incomes.

Tribal Lead Agencies also have the **option** to use different criteria in different parts of their service area, or a Tribal consortium may establish different eligibility tracks based on the preferences of its participating Tribes.

5.1.1 Basis for Determining Eligibility

Which option does the Tribal Lead Agency choose as the basis for determining child eligibility ((98.81(b)(1)(i); 98.83(c)(1))?

- a. ☐ Standard Eligibility
- b. ☐ Categorical Eligibility
 - i. Demonstrate that 100% the of Tribal Median Income (TMI) is below 85% of the State Median Income (SMI) for a family of four.
 - A. 100 percent of State Median Income: \$ [Click or tap here to enter text.](#)/month
 - B. 85 percent of State Median Income: \$ [Click or tap here to enter text.](#)/month
 - C. 100 percent of Tribal Median Income: \$ [Click or tap here to enter text.](#)/month (must be less than 85 percent SMI)
 - ii. Documentation of TMI and SMI data sources:
 - A. Source data for TMI: [Click or tap here to enter text.](#)
 - B. Source data for SMI, including the name of the state: [Click or tap here to enter text.](#)
 - iii. Ensuring services for those with the highest need (98.81(b)(1)(i)). Describe how the Tribal Lead Agency ensures that the provision of services goes to those with the highest need: [Click or tap here to enter text.](#)
 - iv. Describe the procedures in place for timely documentation and verification that children meet eligibility criteria at the time of eligibility determination and redetermination. [Click or tap here to enter text.](#)
 - v. Does the Tribal Lead Agency choose to use a **combination of categorical eligibility and standard eligibility** by adding other eligibility criteria besides the requirement of meeting the definition of Indian Child, residing within the service area, and the child age limits?
 - A. ☐ No.
 - B. ☐ Yes.
 - a. The Tribal Lead Agency can use the following checklist to summarize **optional** additional eligibility criteria.
Check those that apply:
 - 1. ☐ Reason for care (eligible activity). Describe: [Click or tap here to enter text.](#)
 - 2. ☐ Children in protective services. Describe: [Click or tap here to enter text.](#)
 - 3. ☐ Children with disabilities. Describe: [Click or tap here to enter text.](#)
 - 4. ☐ Family income. Describe: [Click or tap here to enter text.](#)
 - 5. ☐ Other. Describe: [Click or tap here to enter text.](#)
 - b. The Tribal Lead Agency can use the following area at its **option** to describe any variations for determining eligibility: [Click or tap here to enter text.](#)

5.2 Eligible Children and Families

5.2.1 Eligibility Criteria: Age of Children Served

Tribal Lead Agencies may provide child care assistance for children less than 13 years of age, including

continuing to provide assistance to children if they turn 13 during the eligibility period (98.20(a)(1)). In addition, Tribal Lead Agencies can choose to serve children up to age 19 if those children are unable to care for themselves (98.16(g)(2)).

- a. The Tribal CCDF program serves children from ages [Click or tap here to enter text.](#) (weeks/months/years) through [Click or tap here to enter text.](#) (weeks/months/years) (under age 13).

Note: Do not include children incapable of self-care or under court supervision, who are reported below in (b).

- b. Does the Tribal Lead Agency allow CCDF-funded child care for children ages 13 and older but below age 19 who are physically and/or mentally incapable of self-care?

i. ☐ No.

ii. ☐ Yes, and the upper age limit is [Click or tap here to enter text.](#) (may not equal or exceed age 19).

A. Provide the Tribal Lead Agency's definition of physical and/or mental incapacity: [Click or tap here to enter text.](#)

B. Does the Tribal Lead Agency allow CCDF-funded child care for children ages 13 and older but below age 19 who are under court supervision?

a. ☐ No.

b. ☐ Yes, and the upper age limit is [Click or tap here to enter text.](#) (may not equal or exceed age 19).

- c. How does the Tribal Lead Agency define the following eligibility terms?

i. Children residing with a family. Define "residing with" (98.16(g)(5)): [Click or tap here to enter text.](#)

ii. Define "in loco parentis" (98.16(g)(9)): [Click or tap here to enter text.](#)

(CARS skips those who have chosen categorical eligibility to Section 5.3.6)

5.2.2 Eligibility Criteria: Reason For Care

Tribal Lead Agencies have broad flexibility in the work, training, and educational activities required to qualify for child care assistance (98.16(g)(3); 98.20(a)(3)). Tribal Lead Agencies do not have to set a minimum number of hours for families to qualify for work, training, or educational activities, and there is no requirement to limit authorized child care services strictly based on the work, training, or educational schedule/hours of the parent(s). For example, the Tribal Lead Agency can include travel or study time in calculating the amount of needed services.

How does the Tribal Lead Agency define the following for the purpose of determining eligibility?

a. "Working": [Click or tap here to enter text.](#)

b. "Job training": [Click or tap here to enter text.](#)

c. "Education": [Click or tap here to enter text.](#)

- d. “Attending” (a job training or educational program): [Click or tap here to enter text.](#)
- e. Does the Tribal Lead Agency extend eligibility to specific populations of children otherwise not eligible by including them in its definition of children who receive or need to receive protective services (98.20(a)(3))?

Note: A Tribal Lead Agency may elect to provide CCDF-funded child care to children in foster care when foster care parents are not working or are not in education/training activities, but this provision should be included in the protective services definition above.

- i. ☐ No.
- ii. ☐ Yes. If yes, provide the Tribal Lead Agency’s definition of protective services by checking those below that are included (98.16(g)(7)):
- A. ☐ Children in foster care
 - B. ☐ Children in kinship care
 - C. ☐ Children who are in families under court supervision
 - D. ☐ Children who are in families receiving supports or otherwise engaged with a child welfare agency
 - E. ☐ Children participating in an early childhood or school-aged partnership (e.g., Tribal Early Head Start – Child Care Partnership, Tribal Early Learning Initiative (TELI), CCDF and school-aged care partnerships)
 - F. ☐ Children experiencing homelessness
 - G. ☐ Children whose family has been affected by a natural disaster
 - H. ☐ Other. Describe: [Click or tap here to enter text.](#)
- f. Does the Tribal Lead Agency use CCDF funds to provide respite care to custodial parents of children in protective services (98.20(a)(3)(ii))?
- ☐ No.
- ☐ Yes.

5.2.3 Eligibility Criteria: Income Limits

For the purposes of eligibility determination, Tribal Lead Agencies have flexibility in defining family income. This flexibility allows for the exclusion or deduction of certain types of income from calculations of total family incomes.

- a. How does the Tribal Lead Agency define family income for the purposes of eligibility at the point of initial determination and redetermination (98.81(b)(1))? Describe: [Click or tap here to enter text.](#)
- b. Tribal Lead Agencies who are not implementing categorical eligibility throughout their service area must establish CCDF family income eligibility limits for standard eligibility. Those limits cannot exceed 85 percent of the Grantee Median Income (GMI). A Tribal Lead Agency has the flexibility to use either State Median Income (SMI) or Tribal Median Income (TMI) as its Grantee Median Income (GMI) (98.81(b)(1)(ii); 98.20(a)(2)(i)).

Note: When calculating TMI, Tribal Lead Agencies may use Tribally collected income data, but ACF strongly recommends that Tribal Lead Agencies use Census data. For either option, the data should be the most recent SMI or TMI data available.

Check the appropriate box below to indicate which option the Tribal Lead Agency has selected:

- i. ☐ State Median Income (SMI) for a family of the same size
 - A. Source (e.g., Census Bureau, etc.): [Click or tap here to enter text.](#)
 - B. State: [Click or tap here to enter text.](#)
 - C. Year published or finalized: [Click or tap here to enter text.](#)
- ii. ☐ Tribal Median Income (TMI) for a family of the same size residing in the area served by the Tribal Lead Agency
 - A. Source: (e.g., Tribal community assessment, etc.): [Click or tap here to enter text.](#)
 - B. Year updated or finalized: [Click or tap here to enter text.](#)
- c. Are income eligibility limits set for the entire service area (98.81(b)(1)(ii); 98.20(a)(2)(i))?
 - i. ☐ Yes.
 - ii. ☐ No, the income eligibility limits vary within the service area. Describe the variations: [Click or tap here to enter text.](#)
- d. Does the Tribal Lead Agency set CCDF income limits at the time of initial eligibility determination and redetermination at the maximum limit of 85% of GMI?
 - i. ☐ Yes. If yes, provide in the table below the income eligibility limits for varying sizes of families. Complete column (a) based on 100% of the Tribal Lead Agency's most current grantee median income (GMI) and CARS will automatically calculate 85% of GMI.
 - ii. ☐ No. If no, and income eligibility limits are set below 85% of GMI, provide in the table below the income eligibility limits for varying sizes of families using the most current GMI in columns (a) through (f) and complete the following question.
 - A. Describe the Tribal Lead Agency's graduated phase-out process, including methods for informing families and providers (98.16(h)(2)): [Click or tap here to enter text.](#)

	(a) 100% of GMI \$/month	(b) 85% of GMI \$/month (CARS will automatically calculate.)	(c) (If Applicable) Maximum Income Level if Lower Than 85% of Current GMI \$/month	(d) (If Applicable) Maximum Income Level if Lower Than 85% of Current GMI % of GMI [Divide (e) by (a), multiply by 100]	(e) (If Applicable) Maximum Phase- Out/Maximum "Exit" Income Level (Cannot exceed 85% of GMI) \$/month	(f) (If Applicable) Maximum Phase- Out/Maximum "Exit" Income Level (Cannot exceed 85% of GMI) % of GMI [Divide (e) by (a), multiply by 100]
1	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
2	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
3	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.

4	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
5	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
6	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
7	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
8	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.

- e. Tribal Lead Agencies must demonstrate how their processes for initial determination and redetermination take into account irregular fluctuations in earnings (98.21(c)). This is particularly important for families who rely on work that is unpredictable or seasonal in nature, such as agriculture, construction, or subsistence activities, such as hunting and fishing. Families may experience a temporary spike in income due to working increased hours over a short period, yet those earnings are not representative of the family's income over the course of a year.

Check the processes that the Tribal Lead Agency uses to take into account irregular fluctuations in earnings.

- i. ☐ Average the family's earnings over a period of time (e.g., 12 months). If checked, identify the period of time: [Click or tap here to enter text.](#)
 - ii. ☐ Request earning statements that are most representative of the family's monthly income.
 - iii. ☐ Deduct temporary or irregular increases in wages from the family's income level.
 - iv. ☐ Are there other ways the Tribal Lead Agency takes into account irregular fluctuations in earnings? Describe: [Click or tap here to enter text.](#)
- f. Tribal Lead Agencies are required to ensure that children receiving CCDF program funds do not have family assets that exceed \$1,000,000, as certified by a family member (98.20(a)(2)(ii)). Tribal Lead Agencies can meet this requirement through family self-certification, either in the application, during the interview process, or through another method as determined by the Tribal Lead Agency.

Check to certify that the Tribal Lead Agency ensures that family assets do not exceed \$1,000,000:

☐ Yes.

☐ No.

5.2.4 Additional Eligibility Criteria

The Tribal Lead Agency has flexibility in establishing additional eligibility criteria (98.20(b); 98.16(i)(5)).

Does the Tribal Lead Agency establish additional eligibility criteria?

☐ No.

☐ Yes. Describe: [Click or tap here to enter text.](#)

5.3 Application and Eligibility Determination/Redetermination Process

5.3.1 Eligibility Documentation Procedures

Tribal Lead Agencies are required to document and verify that children and families receiving CCDF program funds meet eligibility criteria at the time of eligibility determination and redetermination (98.68(c)).

Note: There are no federal requirements for specific documentation types or verification procedures, and these could include a parent's self-attestation.

Describe the information that the Tribal Lead Agency documents and verifies at initial determination and redetermination and describe, at a minimum, what information is required and how often (e.g., only once at initial determination, once every 12 months or during the length of the eligibility period, etc.). If the Tribal Lead Agency does not collect information during a period, enter N/A for the description.

Check those that apply:

- a. Child's age
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- b. Indian child
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- c. Work
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- d. Job training
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- e. Education program
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- f. Family income
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- g. Household composition
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- h. Applicant identity

- i. ☐ Initial determination: [Click or tap here to enter text.](#)
- ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- i. Applicant's relationship to the child
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- j. Applicant's residence (e.g., must reside within the service area)
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)
- k. Other. Describe: [Click or tap here to enter text.](#)
 - i. ☐ Initial determination: [Click or tap here to enter text.](#)
 - ii. ☐ Redetermination: [Click or tap here to enter text.](#)

5.3.2 Reducing Barriers to Family Enrollment and Redetermination

A Tribal Lead Agency has the flexibility to consider a child presumptively eligible for up to three months and begin to receive child care subsidy prior to full documentation and eligibility determination. The Tribal Lead Agency may have the flexibility to verify eligibility as appropriate by using documents or verification from other benefit programs (e.g., Head Start, TANF, etc.) (98.21(e)).

- a. Does the Tribal Lead Agency implement any of the following eligibility practices to reduce barriers to enrollment? Check those that apply and describe those elements checked.
 - i. ☐ No.
 - ii. ☐ Establishing presumptive eligibility while eligibility is being determined. Describe the policy and identify how long the period of presumptive eligibility is: [Click or tap here to enter text.](#)
 - iii. ☐ Leveraging eligibility from other public assistance programs. Describe: [Click or tap here to enter text.](#)
 - iv. ☐ Coordinating eligibility determinations for children in the same household. Describe: [Click or tap here to enter text.](#)
 - v. ☐ Other. Describe the Tribal Lead Agency policies to process applications efficiently and make timely eligibility determinations: [Click or tap here to enter text.](#)

5.3.3 Priority Rules

Tribal Lead Agencies must set priority rules to ensure the provision of child care services goes to those with the highest need (children of families with very low incomes considering family size, children experiencing homelessness, and children with special needs, which may include any vulnerable populations as defined by the Tribal Lead Agency). The Tribal Lead Agency may also establish additional priority rules (98.20(b); 98.46(a)).

Describe the Tribal Lead Agency's priority rules to ensure the provision of child care services goes to those with the highest need: [Click or tap here to enter text.](#)

5.3.4 Additional Priority Rules

Does the Tribal Lead Agency have additional priority rules or categories to prioritize children for enrollment (98.20(b))?

☐ No.

☐ Yes. Describe the additional priority rule(s) or categories: [Click or tap here to enter text.](#)

5.3.5 12-Month Eligibility

Tribal Lead Agencies are required to establish a minimum 12-month eligibility and redetermination period, regardless of changes in a family's eligibility, including changes in a child's age (including turning 13 years old during the 12-month eligibility period) and changes in a family's residency within a Tribal service area (98.16(h)(1); 98.16(h)(8); 98.21(a)(1)(ii); 98.21(h)(1)(ii)(1); 98.21(h)(2)(i); 98.21(h)(3)).

Tribal Lead Agencies must provide a minimum 12-month eligibility and redetermination period as long as the family's income does not **permanently** exceed the federal threshold of 85 percent of the grantee median income. The Tribal Lead Agency may not terminate assistance prior to the end of the 12-month period if a family experiences temporary changes in participation in work, training, or educational activities and will receive services at least at the same level.

Temporary changes shall include, at a minimum:

- Any time-limited absence from work for an employed parent due to reasons such as the need to care for a family member or an illness;
 - Any interruption in work for a seasonal worker who is not working between regular industry work seasons;
 - Any student holiday or break for a parent participating in training or education;
 - Any reduction in work, training, or education hours, as long as the parent is still working or attending training or education;
 - Any other cessation of work or attendance at a training or education program that does exceed three months or a longer period of time established by the Tribal Lead Agency;
 - Any change in age, including turning 13 years old during the eligibility period; and
 - Any change in residency within the state, territory, or Tribal service area.
- a. Does the Tribal Lead Agency certify that their policies or procedures provide a minimum 12-month eligibility period for each child at initial eligibility determination?
- ☐ Yes.
- ☐ No.

- b. Does the Tribal Lead Agency certify that their policies or procedures provide a minimum 12-month eligibility period for each child at redetermination?
- ☐ Yes.
- ☐ No.
- c. Does the Tribal Lead Agency include any additional conditions in the definition of “temporary changes in activity”?
- i. ☐ No.
- ii. ☐ Yes. If yes, describe: [Click or tap here to enter text.](#)

5.3.6 Non-Temporary Changes

If a Tribal Lead Agency chooses to terminate assistance due to a parent’s non-temporary (permanent) loss or cessation of work, attendance at a job training, educational program, or other eligible activity, it must provide at least 3 months of continued assistance **at the same level**. Tribal Lead Agencies have the flexibility to allow families who lose their eligible activity within 3 months of the end of the authorization period to continue their benefits until their redetermination date. Tribal Lead Agencies are encouraged to consider how their policies will impact the families they serve and to ensure that such requirements help a parent find new employment without adding unnecessary burden (98.21(a)(2)(i); 98.21(a)(5)).

At the end of the minimum 3-month period of continued assistance, if the parent has engaged in a qualifying work, training, or educational program activity with an income below 85 percent of GMI, assistance cannot be terminated and the child must continue receiving assistance until the next scheduled redetermination or, at the Tribal Lead Agency’s **option**, for an additional minimum 12-month eligibility period (98.21(a)(2)(i)).

Does the Tribal Lead Agency choose to discontinue assistance during the minimum 12-month eligibility period due to a parent’s non-temporary or permanent loss or cessation of eligible activity?

- a. ☐ No. The Tribal Lead Agency does not discontinue assistance during the 12-month eligibility period due to a parent’s non-temporary change. **(Skip to Section 5.3.8.)**
- b. ☐ Yes.
- i. Describe the Tribal Lead Agency’s policies and procedures for offering a minimum 3-month period to allow parents to engage in a job search and to resume participation in an eligible activity: [Click or tap here to enter text.](#)
- ii. The Tribal Lead Agency may discontinue assistance prior to the next minimum 12-month redetermination in the following limited circumstances. Check the allowable circumstances used by the Tribal Lead Agency to discontinue assistance, if applicable:
- A. ☐ Excessive unexplained absences (after multiple attempts to contact the family, including the prior notification of a possible discontinuation of assistance)
- B. ☐ A change in residency outside of the Tribal service area

- C. ☐ Substantiated fraud or intentional program violations that invalidate prior determinations of eligibility. Describe the violations that lead to discontinuing assistance: [Click or tap here to enter text.](#)

5.3.7 Change Reporting

Tribal Lead Agencies may only require families to report limited changes during the minimum 12-month eligibility period. Families must report to the Tribal Lead Agency if the family's income exceeds 85 percent of the Grantees median income (GMI), considering irregular fluctuations in income, during the 12-month eligibility period (98.16(h)(8)).

Note: Any additional reporting requirements during the 12-month eligibility period must be limited to items that impact a family's eligibility (e.g., that impact the Tribal Lead Agency's ability to contact the family or pay the child care providers) and shall not require an office visit. In addition, the Tribal Lead Agency must offer a range of notification options to accommodate families (98.21(h)(2)).

- a. Does the Tribal Lead Agency require families to report other changes (e.g., change of address, change in need for child care, change in child care provider)?
- ☐ No.
- ☐ Yes. Describe the options for families to report changes (e.g., phone call, email, in person): [Click or tap here to enter text.](#)
- b. Does the Tribal Lead Agency ensure that reporting changes are not burdensome and avoid an impact on continued eligibility between redeterminations (e.g., reporting changes by mail, email, online forms, or in person; extended submission hours) (98.21 (h)(4)):
- ☐ Yes.
- ☐ No.

5.3.8 TANF Benefits

Tribal Lead Agencies are required to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child younger than age 6 (98.16(v); 98.33(f)).

- a. Does the Tribal Lead Agencies inform parents who receive TANF benefits about this exception?
- ☐ No.
- ☐ Yes.

5.3.9 Parental Access to Children

Tribal Lead Agencies are required to have in effect procedures for ensuring that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF program funds (98.15(b)(2); 98.16(t); 98.31)).

Check to certify that the Tribal Lead Agency has procedures for meeting the parental access requirement:

☐ Yes.

☐ No.

5.4 Improving Access for Vulnerable Children and Families

Tribal Lead Agencies are required to give priority for child care assistance to children with special needs and children experiencing homelessness (98.50(a)(4); 98.46(a)(2)). The prioritization of CCDF assistance services is not limited to eligibility determination (e.g., prioritize for enrollment, serve without placing vulnerable populations on waiting lists, waive co-payments [if not already waiving copayments for all families], pay higher rates for access to higher quality care, use grants or contracts to reserve slots for priority populations).

5.4.1 Children With Special Needs

Tribal Lead Agencies have flexibility in how they define children with special needs. The definition of children with special needs may include children with physical or mental disabilities or children who are considered part of vulnerable populations (e.g., families with very low incomes, children at risk of receiving protective services, children with teen parents, children involved in cultural ceremonies or practices) (98.16(g)(1)).

Check those that are included within the Tribal Lead Agency's definition of children with special needs:

- a. ☐ Children who have physical, social, or mental conditions, or special health care needs
- b. ☐ Children who are considered vulnerable due to having a parent who was less than 18 years of age at the time of birth, a single parent, or experiencing homelessness
- c. ☐ Children who are considered receiving or in need of protective services, including foster care, kinship care, or temporary guardianship
- d. ☐ Children of parents enrolled in TANF; children attending Head Start or other partnering programs
- e. ☐ Children who have been exposed to adverse childhood experiences, such as domestic violence, or whose parents have physical, social or mental conditions; have addictions; are involved in law enforcement or legal systems; or have special health care needs
- f. ☐ Children living in an area of a declared state of emergency
- g. ☐ Children involved in cultural ceremonies or practices
- h. ☐ Other. Describe: .

5.4.2 Services for Children Experiencing Homelessness

Tribal Lead Agencies are required to expend CCDF program funds to (98.51):

- Permit the enrollment (after an initial eligibility determination) of children experiencing homelessness while required documentation is obtained—allowing a grace period,

- Provide training and TA to child care providers and the appropriate Tribal Lead Agency (or designated entity) staff in identifying and serving children experiencing homelessness, and
 - Conduct specific outreach to families experiencing homelessness.
- a. Describe how the Tribal Lead Agency improves access to child care for children and families experiencing homelessness (e.g., adding new providers near homeless shelters). Check those that apply:
 - i. ☐ Including them within the definition of “children with special needs”
 - ii. ☐ Including them within the definition of “protective services”
 - iii. ☐ Prioritizing them for enrollment in child care services
 - iv. ☐ Serving them without placing them on a waiting list
 - v. ☐ Paying a higher rate for access to higher-quality care
 - vi. ☐ Using grants or contracts to reserve spots
 - vii. ☐ Waiving co-payments if implementing co-payments for families as described in 5.5.
 - viii. ☐ Other. Describe: [Click or tap here to enter text.](#)
 - b. Check to certify that the Tribal Lead Agency conducts outreach to children experiencing homelessness and their families:
 - ☐ Yes.
 - ☐ No.
 - c. Check to certify that the Tribal Lead Agency established a grace period that allows children experiencing homelessness and children in foster care to receive CCDF assistance while providing their families with a reasonable time to take any necessary actions to comply with immunization and other health and safety requirements. The length of such a grace period shall be established in consultation with the state, territorial, or Tribal health agency (98.51(a)).
 - ☐ Yes.
 - ☐ No.

5.5 Family Contribution to Payments

The Tribal Lead Agency may exempt all families participating in CCDF from copayments or may waive copayments for some populations and charge copayments for other groups of families. Copayments may not be more than 7 percent of the family’s income.

5.5.1 Parent Co-payments

- a. Does the Tribal Lead Agency exempt all families from copayments?
 - ☐ Yes. **(CARS skips to Section 6)**

☐ No.

b. Does the Tribal Lead Agency waive copayments for families, check only those that apply:

i. ☐ Families whose income is below 150 percent of poverty level

ii. ☐ Families whose income is below 100 percent of poverty level

iii. ☐ Children who have a disability

iv. ☐ Children experiencing homelessness

v. ☐ Children enrolled in Early Head Start or Head Start

vi. ☐ Other. Describe: [Click or tap here to enter text.](#)

c. What is the highest copayment families are charged as a percentage of family income (98.45(b)(5); 98.45(l)(3)? [Click or tap here to enter text.](#)

[Click or tap here to enter text.](#)

6 Equal Access to Quality Child Care (Tribal Lead Agencies with Medium and Large Allocations)

One of the core purposes of CCDF is to provide participating parents' choice in their child care arrangements and provide their children with equal access to child care compared to those children not participating in CCDF.

This section addresses many of the CCDF provisions related to equal access. This includes families being able to access the full range of providers available; building a supply of high-quality child care to address the needs of populations facing particularly acute shortages (e.g., children with disabilities, infants and toddlers, nontraditional hours); adequate payment rates for providers; differential payment rates, if appropriate; and other strategies that support parental choice and access by helping to ensure that child care providers are available to serve children participating in CCDF.

6.1 Description of Direct Child Care Services

6.1.1 6.1.1 Categories of Care

CCDF recognizes three categories of care: center-based child care, family child care, and in-home child care. CARS automatically fills in the categories of care below based on selections in Section 1.9. **(CARS will populate the selection from Section 1.9.)**

- ☐ Center-based child care
- ☐ Family child care
- ☐ In-home child care

6.1.2 6.1.2 Funding Mechanisms

CCDF direct child care services may be provided through a subsidy program in which the Tribal Lead Agency can utilize varying funding mechanisms (98.81(b)(9)(i)). Which funding mechanisms does the Tribal Lead Agency use to fund its direct services program? Check those that apply:

- a. ☐ Certificates. Note: Tribal Lead Agencies with large allocations are required to operate a certificate program that permits families to choose from all three categories of care.
- b. ☐ Grants or contracts with approved child care providers for child care slots.
- c. ☐ Tribally operated center. Does the Tribal Lead Agency provide child care services exclusively through one or more Tribally operated centers?
 - i. ☐ Yes (This option is available only to Tribal Lead Agencies with medium allocations (98.30(a)). **(Completes 6.1.4 then skips to Section 7.)**)
 - ii. ☐ No.

6.1.3 6.1.3 Direct Services for Participating Tribes in a Tribal Consortium

(Only Tribal Lead Agencies that are consortia are required to answer this question.)

Describe the direct services funded by CCDF for each of the participating Tribes of the consortium (98.83(c)(1)): [Click or tap here to enter text.](#)

6.1.4 6.1.4 Building the Supply of Child Care

Tribal Lead Agencies are required to develop and implement strategies to increase the supply of child care services and to improve the quality of care for children who are typically underserved (98.16(y)). These populations include children in underserved areas, infants and toddlers, children with disabilities (as defined by the Tribal Lead Agency), and children who receive care during nontraditional hours.

Strategies may include alternative payment rates to child care providers, differential payment rates, the provision of direct contracts or grants for child care slots, offering child care certificates to parents for relative care or family child care options, training support using quality set-aside or other quality supports, etc.

Which underserved populations are included in determining the Tribal community's child care needs?

Check only those that apply and describe the strategies that have been developed and implemented to increase the supply and improve the quality of child care services?

- a. ☐ Infants and toddlers. Describe: [Click or tap here to enter text.](#)
- b. ☐ Families experiencing homelessness. Describe: [Click or tap here to enter text.](#)
- c. ☐ Children with special needs. Describe: [Click or tap here to enter text.](#)
- d. ☐ Children in need of nontraditional hours of care. Describe: [Click or tap here to enter text.](#)
- e. ☐ Other. Describe: [Click or tap here to enter text.](#)

6.2 Establishing Adequate Payment Rates

Tribal Lead Agencies must set sufficient base payment rates to provide equal access to the full range of child care services and must set rates that cover the costs of providing higher-quality care. The Tribal Lead Agency will 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 (98.45(f)(2)(ii); 98.81(b)(5)).

*Note: Tribal Lead Agencies, at their **option**, may conduct a market rate survey or use the state's methodologies to set payment rates.*

6.2.1 Payment Rates to Support Equal Access

Check to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families in the area served by the Tribal Lead Agency to child care services comparable to those provided to families not eligible to receive CCDF assistance (98.45(a); 98.45(f)(2)(iv)):

- ☐ Yes.
- ☐ No. Describe: [Click or tap here to enter text.](#)

6.2.2 Setting Payment Rates

Tribal Lead Agencies are required to set base payment rates at least at a level sufficient to cover the costs of meeting the health, safety, quality, and staffing requirements (98.81(b)(5)).

- a. Describe how the Tribal Lead Agency's base payment rates enable providers to meet the health, safety, quality, and staffing requirements under the CCDF program (98.45(f)(2)(ii)): [Click or tap here to enter text.](#)
- b. Describe how the Tribal Lead Agency's base payment rates support quality and meet the needs of the Tribal communities they serve (e.g., where applicable, cultural, and linguistic appropriateness) (98.81(b)(5)): [Click or tap here to enter text.](#)

6.2.3 Payment Rates

The payment rates should reflect the categories of care offered in the Tribal Lead Agency's program (e.g., different rates based on the child's age, the category of care) (98.45(f)(2)(ii); 98.45(f)(2)(iii); 98.45(f)(2)(iv); 98.45(f)(2)(v)). Tribal Lead Agencies are reminded that payment rates cannot be based on a family's eligibility, such as receiving TANF or participation in education or training.

Include all payment rates and effective dates in the attached payment rates. For each category of care offered, provide the full-time weekly base payment rate for each age group that the Tribal Lead Agency serves. If weekly rates are not published, then the Tribal Lead Agency will need to calculate its equivalent. If the payment rates differ, use the most common payment rates for center-based care and family child care. **(CARS opens the categories of care from Section 1.9; others are grayed out.)**

- a. Full-time weekly base payment rates for **center-based care**. If there are different base payment rates for geographical areas, please provide the range within the answer.
 - i. Infant (6 months): [Click or tap here to enter text.](#)
 - ii. Toddler (18 months): [Click or tap here to enter text.](#)
 - iii. Preschooler (4 years): [Click or tap here to enter text.](#)
 - iv. School-age child (6 years; based on full-day, full-year rates that would be paid during the summer): [Click or tap here to enter text.](#)
- b. Full-time weekly base payment rates for **family child care**. If there are different base payment rates for geographical areas, please provide the range within the answer.
 - i. Infant (6 months): [Click or tap here to enter text.](#)
 - ii. Toddler (18 months): [Click or tap here to enter text.](#)
 - iii. Preschooler (4 years): [Click or tap here to enter text.](#)
 - iv. School-age child (6 years; based on full-day, full-year rates that would be paid during the summer): [Click or tap here to enter text.](#)
- c. Full-time weekly base payment rates for **in-home care**. If there are different base payment rates for geographical areas, please provide the range within the answer.
 - i. Infant (6 months): [Click or tap here to enter text.](#)

- ii. Toddler (18 months): [Click or tap here to enter text.](#)
- iii. Preschooler (4 years): [Click or tap here to enter text.](#)
- iv. School-age child (6 years; based on full-day, full-year rates that would be paid during the summer): [Click or tap here to enter text.](#)

6.2.4 In-Home Care Limits

(Only Tribal Lead Agencies that offer in-home care are required to answer this question.)

Does the Tribal Lead Agency limit the use of in-home care in any way, such as minimum age of provider, number of children in care, hours of care, relative providers, etc. (98.16(i)(2); 98.81(b)(9)(ii))?

☐ Yes.

☐ No.

7 Family Outreach and Consumer Education (Tribal Lead Agencies with Medium and Large Allocations)

Tribal Lead Agencies are required to support families in making informed choices about the services that best suit their needs. Effective consumer education ensures that families know what services they have access to and what they may want to look for in determining whether a child care provider is a good fit for their family.

In this section, Tribal Lead Agencies share a consumer statement, as well as information about developmental screenings, consumer education, research, best practices, access to monitoring and enforcement results, and the parental complaint process. Tribal Lead Agencies must collect and share the information with families, providers, and the general public, but Tribal Lead Agencies are not required to have a consumer education website.

7.1 Consumer Statement

Tribal Lead Agencies must share a consumer statement with families participating in CCDF, in hard copy or electronically, that contains specific information about the child care provider they select. *The following eight components of the consumer statement are required:*

- Health and safety requirements met by the provider,
- Any licensing or regulatory requirements met by the provider,
- The date the provider was last inspected,
- Any history of violations of these requirements,
- Any voluntary quality standards met by the provider,
- How CCDF subsidies are designed to promote equal access,
- How to submit a complaint through a hotline, and
- How to contact local resource and referral agencies, family liaison, or other community-based supports that assist families in finding and enrolling in a quality child care program.

7.1.1 Consumer Statement Components

Check to certify the Tribal Lead Agency shares a consumer statement with families, either in hard copy or electronically, that contains the required information about the provider they have selected, including the eight required elements above:

- ☐ Yes, the Tribal Lead Agency shares a consumer statement that has the eight required elements.
- ☐ No, the consumer statement does not contain the following required elements: [Click or tap here to enter text.](#)

7.2 Information on Developmental Screenings

Tribal Lead Agencies are required to share information and referrals on developmental screenings. This information should include resources and services that the Tribe can share, such as [Early and Periodic Screening, Diagnosis, and Treatment \(EPSDT\) services](#) under Medicaid and developmental screening

services available through the Individuals with Disabilities Education Act (IDEA) Part B, Section 619, (Preschool Grants) and Part C (Early Intervention for Infants and Toddlers with Disabilities). Tribal Lead Agencies are required to share this information with eligible families during CCDF intake and to child care providers through training and education.

7.2.1 Information on Resources for Developmental Screenings

Check to certify that Tribal Lead Agency collects and shares information on the following:

- a. Existing resources and services available for obtaining developmental screening for CCDF parents, the general public, and child care providers:
 - ☐ Yes.
 - ☐ No.
- b. EPSDT program under the Medicaid program and developmental screening services available under Part B, Section 619 and Part C of IDEA:
 - ☐ Yes.
 - ☐ No.
- c. Developmental screenings to eligible families as part of the intake process:
 - ☐ Yes.
 - ☐ No.

7.2.2 Resources and Services to Obtain Developmental Screenings

Check to indicate that families participating in CCDF or child care providers receiving CCDF can use the available resources and services to obtain developmental screenings for CCDF children at risk for cognitive or other developmental delays:

- ☐ Yes.
- ☐ No. *Click or tap here to enter text.*

7.2.3 Information through Training and Professional Development

Check to indicate that child care providers receive developmental screening information through training and professional development:

- ☐ Yes.
- ☐ No.

7.3 Consumer and Provider Education

Tribal Lead Agencies are required to certify they will collect and share information about the full range of child care services to promote parental choice to parents of eligible children, the general public, and where applicable, child care providers.

7.3.1 Sharing Child Care Services Information and Availability

Check to certify that the Tribal Lead Agency shares information with families, providers, and the general public about:

- The availability of child care services,
- The full range of categories of care provided through the CCDF program,
- Other programs for which the family may be eligible, such as Head Start, state or Tribal PreK, and
- The availability of financial assistance to obtain child care services.

☐ Yes.

☐ No.

7.3.2 Sharing Program Information

Check to certify that the Tribal Lead Agency shares information with families, providers, and the general public about the following programs and benefits, as practicable, including:

- What information is provided,
- How the information is provided,
- How the information is tailored to a variety of audiences, and
- Any partners who assist in providing this information.

Check those that apply:

- a. ☐ Not practicable
- b. ☐ Temporary Assistance for Needy Families (TANF) Program
- c. ☐ Head Start and Early Head Start Programs
- d. ☐ Low Income Home Energy Assistance Program (LIHEAP)
- e. ☐ Supplemental Nutrition Assistance Program (SNAP)
- f. ☐ Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) Program
- g. ☐ Child and Adult Care Food Program (CACFP)
- h. ☐ Medicaid and Children's Health Insurance Program (CHIP)
- i. ☐ Programs carried out under Individuals with Disabilities Education Act (IDEA) Part B, Section 619, and Part C

7.3.3 Sharing Child Development Research and Best Practices

The Tribal Lead Agency must share information with families, providers, and the general public about research and best practices concerning children's development. The information must be tailored to a

variety of audiences, and the information must include:

- Physical health and development,
- Healthy eating and physical activity, and
- Successful parent and family engagement.

Describe how the Tribal Lead Agency shares child development research and best practices information:

[Click or tap here to enter text.](#)

7.3.4 Sharing Social-Emotional, Behavioral, and Mental Health Information

Tribal Lead Agencies must share information with families, providers, and the general public about their policies regarding social-emotional and behavioral issues and early childhood mental health. The information must include:

- Information on positive behavioral intervention and supports models, based on research and best practices for those from birth to school age,
- Any partners who assist in providing this information.

Check to certify that the Tribal Lead Agency shares social-emotional, behavioral, and mental health information:

☐ Yes.

☐ No.

7.3.5 Sharing Suspension and Expulsion Prevention Information

Describe how the Tribal Lead Agency shares information with families, providers, and the general public about policies to prevent the suspension and expulsion of children from birth to age 5 in child care and other early childhood programs receiving CCDF program funds: [Click or tap here to enter text.](#)

7.4 Consumer Education Accessibility

Tribal Lead Agencies are required to provide information to families, the general public, and when applicable, child care providers through a method of their choice that is consumer-friendly and easily accessible. The available information must include:

- Provider-specific information,
- Monitoring and inspection reports about the provider,
- The quality of each provider (if information is available),
- An annual service area report on deaths, serious injuries, and the number of substantiated cases of child abuse that have occurred in child care settings, and
- Contact information to local CCR&R organizations and any other agencies that can assist families in better understanding the information.

7.4.1 Consumer-Friendly and Accessible Information

Check to certify that the Tribal Lead Agency ensures its information is consumer-friendly and easily accessible. *Note: Although there is no federal CCDF definition for easily accessible, Tribal Lead Agencies may consider easily accessible information to be simple to obtain, written in plain language, and easy to understand:*

☐ Yes.

☐ No.

7.4.2 Sharing Background Check Information

Check to certify the Tribal Lead Agency shares information with families, providers, and the general public about policies and procedures for provider/staff comprehensive background checks, including offenses that prevent individuals from being employed or a provider from receiving CCDF funds. *Note: Background check policies and processes are described in Section 2.10:*

☐ Yes.

☐ No.

7.4.3 Listing Licensed Providers

The Tribal Lead Agency must share a localized list with families, providers, and the general public that includes all licensed child care providers and differentiation between licensed and license-exempt providers. The list must be searchable by ZIP code. The Tribal Lead Agency may also share all providers eligible to deliver Tribal CCDF services. Relative providers do not need to be included.

Check to certify that the Tribal Lead Agency shares a list of licensed providers that differentiates between licensed and license-exempt providers and is searchable by ZIP code:

☐ Yes.

☐ No.

7.4.4 Sharing Quality Information and Reporting of Quality Ratings

If the Tribal Lead Agency has quality information about each child care provider, the Tribal Lead Agency must include the information with its provider-specific information. Tribal Lead Agencies may determine the type of quality information included.

Check to certify that the Tribal Lead Agency shares quality ratings or other quality information about each child care provider:

☐ Yes.

☐ No.

7.5 Information on Monitoring and Enforcement

7.5.1 Sharing Monitoring and Inspection Information

Check to certify that the Tribal Lead Agency shares information with families, providers, and the general public about how child care providers are monitored and inspected by the Tribal Lead Agency and/or another entity or agency (including Tribally operated centers, if applicable). *Note: Monitoring enforcement policies and practices are referenced in Section 2.8:*

☐ Yes.

☐ No.

7.5.2 Monitoring and Inspection Report Contents

Tribal Lead Agencies must share monitoring and inspection reports with families, providers, and the general public. These reports must include the following six required elements in plain language and in a timely manner:

- Results of required annual monitoring visits and visits due to major substantiated complaints about a provider's failure to comply with health and safety requirements and child care policies,
- Information on the date of such inspection,
- Areas of compliance and non-compliance,
- Information on corrective actions taken by the Tribal Lead Agency and child care provider, where applicable,
- Any health and safety violations, including any fatalities and serious injuries occurring at the provider, prominently displayed on the report or summary, and
- A minimum of three years of results where available.

The Tribal Lead Agency must also establish a process for correcting inaccuracies.

Check to certify that the Tribal Lead Agency's monitoring and inspection reports meet the six required elements:

☐ Yes, the Tribal Lead Agency shares monitoring and inspection reports and/or their plain-language summaries that meet the six required elements.

☐ Not applicable. The state issues all monitoring and inspection reports.

☐ No, describe: Describe: [Click or tap here to enter text.](#)

7.5.3 Sharing Aggregated Data on Serious Injuries, Deaths, and Child Abuse

Tribal Lead Agencies must share annual aggregated data with families, providers, and the general public on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings. The data must be organized by category of care (e.g., center-based child care, family child care, in-home child care) for all eligible CCDF provider categories in the Tribal Lead Agency's service area. The aggregated data report should not list individual provider-specific information or personally identifiable information.

Tribal Lead Agencies must designate a Tribal or state entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care.

- a. Check to certify that the Tribal Lead Agency shares annual aggregated data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings:
☐ Yes.
☐ No.
- b. Identify the Tribal or state entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care: [Click or tap here to enter text.](#)

7.5.4 Sharing CCR&R Referrals

Check to certify that the Tribal Lead Agency shares information with families, providers, and the general public about referrals to local CCR&R agencies through consumer education information:

- ☐ Yes.
☐ No.

7.6 Parental Complaint Process

Tribal Lead Agencies must provide a detailed description of the reporting process for parents to submit complaints about child care providers, including:

- How complaints are substantiated,
- How the Tribal Lead Agency maintains a record of substantiated parental complaints, and
- How the public can request information about substantiated parental complaints (98.16(s)).

7.6.1 Process for Reporting Complaints

Describe the Tribal Lead Agency's process for parental complaints. Include how parents can submit complaints about child care providers, how the Tribal Lead Agency screens, substantiates, and responds to complaints regarding CCDF providers, if monitoring is included in the process, and how the public can request information about substantiated parental complaints: [Click or tap here to enter text.](#)

7.6.2 Maintaining a Record of Substantiated Parental Complaints

Check to certify that the Tribal Lead Agency maintains or has access to (if maintained by the state or another agency) a record of substantiated parental complaints:

- ☐ Yes.
☐ No. [Click or tap here to enter text.](#)

7.6.3 Record Maintenance Coordination

Does the Tribal Lead Agency coordinate with a state licensing agency or another entity or agency to ensure the complaint has been addressed?

☐ No.

☐ Yes.

7.6.4 Public Access Coordination

Does the Tribal Lead Agency coordinate with a state licensing agency or another entity or agency so that the public can request information about substantiated parental complaints?

☐ No.

☐ Yes.

7.6.5 Sharing Contact Information for Consumer Education Information

Check to certify that the Tribal Lead Agency shares information with families, providers, and the general public about how families can contact the Tribal Lead Agency, its designee, or other programs that can help families understand the consumer information shared throughout Section 7:

☐ Yes.

☐ No.

Appendix 1

Triennial Child Count Declaration/Demonstration

Consortium Member Tribe

Name of Tribe:

Name of Tribal Lead Agency: [Consortium]

The Tribal Lead Agency may not count any children who are included in the child count of another CCDF Tribal Lead Agency. To ensure unduplicated child counts, a Tribal Lead Agency is required to confer with all other CCDF Tribal Lead Agency that have overlapping or neighboring service areas.

The counts below show the number of Indian children younger than age 13 as of [MM/DD/YYYY](#) (date).

This certifies that the number of Indian children (as defined in CCDF Plan) who reside on near the service area (as defined in CCDF Plan) for the Consortium Lead Agency and each Consortium Member are: [Click or tap here to enter text.](#) (number)

Indian Child Definition

Identify which Indian child(ren) are counted in the Tribal Lead Agency's child count (98.81(b)(2)(i)).

Programs and activities are to be carried out for the benefit of Indian children. Although Tribal Lead Agencies have some flexibility in defining "Indian Child," the definition must be limited to children from federally recognized Indian Tribes, consistent with the CCDBG Act's definition of Indian Tribe (98.2). This information could include children who are Tribal members, whose membership is pending, who are eligible for membership, and/or are children/descendants of members and could also include adopted children, foster children, stepchildren, etc.

The Tribal Lead Agency defines an "Indian child" as: [Click or tap here to enter text.](#)

Service Area

Programs and activities are to be carried out for the benefit of Indian children living on or near the Indian reservation or service area. The service area must be within reasonably close geographic proximity to the borders of a Tribe's reservation (except for Tribes in Alaska, California, and Oklahoma). Tribes that do not have reservations must establish service areas within reasonably close geographic proximity to the area where the Tribe's population resides. There is an expectation that the Tribal Lead Agency will be able to provide services to families throughout the service area. ACF will not approve an entire state as a Tribe's service area.

Tribal Lead Agencies can limit services within the reservation boundaries or go beyond the reservation boundaries, but if a Tribal Lead Agency establishes a different service area than the borders of the Tribe's reservation or existing service area for CCDF purposes, it must be within reasonably close geographic proximity (6580(c)(2)(B); 98.80(e); 98.81(b)(2)(ii); 98.81(b)(3)(ii); 98.83(b)); for example, "Permanent residence is within the reservation boundaries; however, the participant is temporarily attending school

outside of the reservation area,” or “[the participant] resides within 20 miles of the reservation boundaries.”

The Tribal Lead Agency defines the Service Area as: [Click or tap here to enter text.](#)

This signed Child Count Declaration serves as the Tribe’s demonstration for the consortium Lead Agency that the member Tribe has authorized the consortium Lead Agency to act on its behalf pursuant to (98.80(c)(1-4); 98.81(b)(8)(i)). However, a Tribe may choose to attach a Tribal Resolution, a letter signed by the current Tribal Leader, or another official document from the Tribal/village government per Tribal statute or directive.

☐ ***This signed Child Count Declaration serves only as the Tribe’s Child Count Declaration for CCDF Mandatory funds received consortium Lead Agency on the Tribe’s behalf in accordance with Federal Regulations. The Tribe receives CCDF Discretionary funds directly and does not authorize the consortium Lead Agency to act on its behalf pursuant to 98.80I(1-4); 98.81(b)(8)(i). Note: this applies only to Tribes within Alaska who receive their own CCDF grant.***

Official Signature of Individual Authorized to Act for the Tribe

Date: [MM/DD/YYYY](#)

Print Name

Print Title

Appendix 1-A

Triennial Child Count Declaration/ Demonstration (P.L. 102-477)

Consortium Member Tribe

Name of Tribe:

Name of Tribal Lead Agency: [Consortium]

The Tribal Lead Agency may not count any children who are included in the child count of another CCDF Tribal Lead Agency. To ensure unduplicated child counts, a Tribal Lead Agency is required to confer with all other CCDF Tribal Lead Agencies that have overlapping or neighboring service areas.

The counts below show the number of Indian children younger than age 13 as of MM/DD/YYYY (date).

This certifies that the number of Indian children (as defined in CCDF Plan Section of the 102-477 Plan) who reside in the service area (as defined in CCDF section of the 102-477 Plan) for the Consortium Lead Agency and each Consortium Member are: [Click or tap here to enter text.](#) (number)

☐ ***This signed Child Count Declaration serves as the Tribe's demonstration for the consortium Lead Agency that the member Tribe has authorized the consortium Lead Agency to act on its behalf pursuant to (98.80(c)(1-4); 98.81(b)(8)(i)). However, a Tribe may choose to attach a Tribal Resolution, a letter signed by the current Tribal Leader, or another official document from the Tribal/village government per Tribal statute or directive.***

☐ ***This signed Child Count Declaration serves only as the Tribe's Child Count Declaration for CCDF Mandatory funds received consortium Lead Agency on the Tribe's behalf in accordance with Federal Regulations. The Tribe receives CCDF Discretionary funds directly and does not authorize the consortium Lead Agency to act on its behalf pursuant to 98.80I(1-4); 98.81(b)(8)(i). Note: this applies only to Tribes within Alaska who receive their own CCDF grant.***

Date: MM/DD/YYYY

Official Signature of Individual Authorized to Act for the Tribe

Print Name

Print Title

Appendix 2

Tribal Early Learning Initiative (TELI)

Tribal Lead Agencies are required to coordinate the delivery of CCDF services with other early childhood partners. One way to accomplish that is through the Tribal Early Learning Initiative (TELI) as a Collaborative or Network participant.

A TELI effort in a Tribal community is designed to:

- Better coordinate Tribal early learning and development programs, including child care, Head Start, preschool, home visiting, and other services,
- Create and support seamless, high-quality early childhood systems,
- Raise the quality of services to children and families across the prenatal-to-kindergarten-entry continuum, and
- Identify and break down barriers to collaboration and systems improvement.

The TELI Collaborative is an **optional** 3-year intensive technical assistance opportunity designed to assist up to eight Tribal communities in developing their own unique early childhood system through participation in an intentional learning community. Tools and methods will be shared that help to bring Tribal communities together. This is not a grant; it is an **optional** opportunity that Tribal Lead Agencies can sign up for. It will require a team of individuals consisting minimally of the Tribal CCDF program, the Tribal Head Start Program and, if applicable, the Tribal Home Visiting Program.

The TELI Network is an **optional** opportunity in which participating Tribal Lead Agencies can use CCDF resources to assist them in identifying and developing Tribal early childhood systems, but without the more intensive time commitment or technical assistance that the TELI Collaborative participants are receiving. Network participants will have access to the resources developed for, by, and shared with TELI Collaborative Teams.

All TELI activities are completely voluntary, and Tribal Lead Agencies are not required to complete these questions if they are not interested in pursuing TELI efforts. Regional program staff and TELI staff are available to provide guidance on how CCDF funds can be used for TELI activities.

To submit a request to join the TELI Collaborative or the TELI Network, complete the questions below.

These questions offer interested Tribal Lead Agencies the opportunity to describe how they will utilize technical assistance supports to develop a coordinated early childhood system. The description includes the **option** to use Tribal CCDF program funds, particularly quality funds, to support applicable child care services for TELI efforts in their community.

Current Collaboration

What is the existing level of collaboration across early childhood programs in the community (e.g., Head Start/Early Head Start, Tribally run early childhood programs, including a CCDF Tribally operated center

(TOC), home visiting program, Bureau of Indian Education Family and Child Education (FACE) program, and others as identified by the community)? Check those that apply:

- ☐ No collaboration. Each program operates independently.
- ☐ Some collaboration, but most of our work is done independently.
- ☐ Considerable collaboration occurs across programs.
- ☐ Other. Describe: [Click or tap here to enter text.](#)

Collaboration Partners

Which early childhood program partners will collaborate on the TELI effort? Check those that apply:

- ☐ Child Care and Development Fund (CCDF)
- ☐ Child welfare
- ☐ Early Head Start
- ☐ Family support
- ☐ Head Start
- ☐ Health/Indian Health Services (IHS)
- ☐ Housing
- ☐ Maternal, Infant, and Early Childhood Home Visiting (MIECHV)
- ☐ Nutrition
- ☐ Social services
- ☐ Tribal colleges and universities
- ☐ Bureau of Indian Affairs (BIA)/workforce development
- ☐ Bureau of Indian Education FACE Program
- ☐ Temporary Assistance for Needy Families (TANF)
- ☐ Public School System
- ☐ Other. Describe: [Click or tap here to enter text.](#)

TELI Quality Funds

Identify the activities the Tribal Lead Agency plans to use Tribal CCDF program quality funds for to support the TELI effort. *Note: support and technical assistance is available for all of the activities listed below. Use of CCDF quality funds for these activities must align with guidance provided in Information Memorandum CCDF-ACF-IM-2022-01, Use of Tribal Care and Development Fund Resources to Support Early Childhood Systems Building.*

Check those that apply:

- ☐ Hire a TELI Coordinator (part time or full time) to provide coordination, facilitation, and administrative support to the TELI effort.
- ☐ Convene an early childhood council or advisory group to guide the TELI effort and develop the community's vision for an early childhood system that meets the needs of young children and their families.
- ☐ Coordinate with partners to conduct a new needs assessment or update an existing needs assessment that examines the need for early childhood services.
- ☐ Develop a vision and strategic plan for supporting and strengthening early childhood services and systems in the community.
- ☐ Invest in or update an existing coordinated data system to allow for the collection, storage, and sharing of data across early childhood programs to support improved service delivery to families (e.g., a shared intake application, coordinated eligibility efforts, shared information, and case management tools).
- ☐ Conduct professional development activities that support and are available to the range of early childhood providers in the community (e.g., combined pre-service and orientation training on health and safety, professional development opportunities, and shared training for monitoring inspectors where relevant).
- ☐ Implement family engagement and leadership activities in the community.
- ☐ Develop culture and language resources and curriculums that can be adapted and used across early childhood programs.
- ☐ Offer compensation to families with direct experience that participate in an advisory board and serve as subject matter experts in the development or refinement of the TELI quality initiative.
- ☐ Develop or expand upon mental health and wellness strategies and initiatives, trauma responsive care and relationship-based care for children, families, providers, and staff.
- ☐ Other. Describe: [Click or tap here to enter text.](#)

Optional: TELI Narrative

Optional: Share any additional information the Tribal Lead Agency would like to add about the overall vision for a Tribal Early Learning Initiative in the community (500 words or less): [Click or tap here to enter text.](#)

TELI Options

Please identify which of the TELI options the Tribal Lead Agency would like to participate in:

- ☐ TELI Collaborative (see link [HERE](#) to complete the required Statement of Interest for this option)
- ☐ TELI Network