

Attachment - A

DRAFT FOR PUBLIC COMMENTS 1-31-19

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CHILD CARE AND DEVELOPMENT FUND

for

TRIBE:

FFY 2020-2022

This Plan describes the Child Care and Development Fund (CCDF) program to be administered by the Tribes for the period 10/1/2019 – 9/30/2022. 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

The Child Care and Development Fund (CCDF) program provides resources to State, Territory, and Tribal grantees that enable low-income parents to work or pursue education and training so that they can better support their families and promote the learning and development of their children. The CCDF program also provides funding to enhance the quality of child care for all children. On November 19, 2014, the Child Care and Development Block Grant (CCDBG) Act of 2014 was signed into law (Pub. L. 113-186). The law reauthorizes and significantly revises the purposes of the CCDF program and requirements for States and Territories, but Congress left discretion to the Department of Health and Human Services (HHS) to determine how new provisions would apply to Tribes.

In September 2016, the Final Rule was released. It makes regulatory changes to the CCDF program based on the CCDBG Act of 2014. These changes strengthen requirements to protect the health and safety of children in child care; help parents make informed consumer choices and access information to support child development; provide equal access to stable child care for low income children; and enhance the quality of child care and the early childhood workforce. Additional Tribal flexibility includes tiered requirements based on the size of their CCDF allocation: Small, Medium, and Large.

Tribes that received small allocations are exempt from the majority of the CCDF requirements, allowing those Tribes more flexibility in how they spend their CCDF funds and to focus those funds on health and safety and quality spending.

Medium or large allocation tribes have the flexibility to consider any Indian child in the Tribe's service area to be eligible to receive CCDF funds, regardless of the family's income, work, or training status, as long as their Tribal Median Income is below 85 percent of State Median Income in the State in which the Tribe is located.

A Plan developed by Tribes is the primary mechanism that the Administration for Children and Families (ACF) uses to determine Tribal compliance with the requirements of the law and the Final Rule. The Plan consists of two parts to address the flexibility Tribes have based on the size of their CCDF allocation. The Preprint is a tool for tribes to describe to ACF their progress in the following:

Part I (For Small, Medium, and Large allocation Tribes): 1) Define CCDF Leadership and Coordination with Relevant Systems; 2) Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings; 3) Supporting Continuous Quality Improvement; and 4) Small Allocation Tribes only: Direct Services.

Part II (For Medium and Large allocation Tribes only): 5) Provide Stable Child Care Financial Assistance to Families; 6) Ensure Equal Access to High Quality Child Care for Low-Income Children; and 7) Promote Family Engagement through Outreach and Consumer Education.

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These organizational categories reflect key functions of an integrated system of child care for lowincome working families. The intention is that grantees and the federal government will be able to use this information to track and assess progress, determine the need for technical assistance (TA), and determine compliance with specific requirements and deadlines.

Plan Amendments: Tribal Lead Agencies are required to request approval from the Administration for Children and Families (ACF) whenever a “substantial” change in the Tribal Lead Agency’s approved CCDF Plan occurs. Please refer to the ACF Program Instruction regarding CCDF Approval of Plan Amendments CCDF-ACF-PI-2009-01 for specific details and timelines specific to the Plan amendment process.



1 Define CCDF Leadership and Coordination with Relevant Systems

This section provides information on how the CCDF program is administered, including the designated Tribal Lead Agency and the administrative structure. 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.

1.1 Tribal CCDF Applicant

1.1.1 Tribal Applicant – Official name of Tribes as listed in the Federal Register or Tribal Consortium.

a. Tribe or Tribal Consortium Information:

Name of the Federally Recognized Tribe (or Tribal Consortium): White Earth Reservation

Name of Tribal Chair/President/Leader: Eugene Tibbetts

Title: Vice-Chairman

Address: PO Box 418

City, State, Zip Code: White Earth, MN 56591

Telephone Number: (218) 983-3285 _ Email Address: eugene.tibbetts@whiteearth-nsn.gov
ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals, and disallowance notifications to the designated contact identified here (658D(a)).

1.1.2 Are you a Tribal Consortium?

Yes. Provide a comprehensive list of the participating member Tribes/Alaska Native Villages and include current demonstrations from the consortium's participating Tribes indicating that the consortium has the authority to seek funding on their behalf. Examples of demonstrations include a Tribal Resolution, a letter signed by the current Tribal Leader, or another official document from the Tribal/Village government (98.80(c)(1-4); 98.81(b)(8)(i)).

No (Skip to Section 1.2)

For Alaska Native Regional Nonprofit Corporations, the list and demonstrations are for purposes of Discretionary Funds only.

The list is provided as Attachment #:

The demonstrations are provided as Attachment #:

If there is any change in the consortium membership, the Tribal Lead Agency must notify ACF through an amendment to the Plan. Any consortium member Tribe seeking to apply for its own CCDF grant funds must first withdraw from the Tribal consortium and contact the Office of Child Care to initiate a separate application for its own funds. ACF must receive the application on or before July 1 prior to the year in which the Tribe is seeking CCDF funds.

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- 1.1.3 A Tribal Consortium must describe how it coordinates services on behalf of each of its participating member Tribes/Villages. Summarize how the consortium is coordinating services (including direct services) on behalf of each participating member (98.81(b)(8)(ii); 98.83(c)(1)).

Describe:

The description should address how child care services are provided to each member Tribe/Village.

1.2 Designated Tribal Lead Agency

The Tribe or Tribal Consortium will 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, including the attached assurances and certifications (658D; 658E(c)(1)); 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, etc., and in rare cases the Tribe will administer the CCDF program.

In the event of a change in the designated Tribal Lead Agency, the Tribal Official (President, Leader, or Chair) is required to officially notify ACF detailing the change in Tribal Lead Agency.

- 1.2.1 Which agency has been designated by the Tribe or Tribal Consortium to administer the CCDF program?

- a. Name of Tribal Lead Agency: White Earth Child Care/Early Childhood Program
- b. Web Address for Tribal Lead Agency (if any): www.whiteearth.com

- 1.2.2 Who is the Tribal CCDF Administrator?

Identify the CCDF Administrator designated by the Tribal Lead Agency, the day-to-day contact, or the person responsible for administering the Tribal CCDF program. If there is more than one designated contact with shared responsibility for administering the CCDF program, please identify the co-administrator/assistant administrator and include contact information.

ACF will send programmatic communications, such as program announcements, program instructions, and data collection instructions to the designated contact identified here.

- a. Contact Information for the Tribal CCDF Administrator:

Name of Tribal CCDF Administrator: Jessica Jackson

Title: Director

Mailing Address: Po Box 418 White Earth, MN 56591

Physical Address (if different than mailing address): 40560 County Hwy. 34 White Earth, MN 56591

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Phone Number: (218) 983 - 3285 Ext: 1385

Email Address: Jessica.jackson@whiteearth-nsn.gov

b. Contact Information for Tribal CCDF Co-Administrator/Assistant Administrator (if applicable):

Name of Tribal CCDF Co-Administrator/Assistant Administrator: **Heidi Mertens**

Title: Finance Coordinator

Mailing Address (if different from above):

Physical Address (if different than mailing address): 35500 Eagle View Rd. White Earth, MN 56591

Phone Number: (218) 983 - 4645 Ext: 5163

Email Address: Heidi.mertens@whiteearth-nsn.gov

1.3 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 (658D(b)(1)(A); 98.11(a)(3); 98.16(d)(1)). Examples of such agreements could include:

1. The Tribal Lead Agency has a written agreement with another Tribal department to operate Tribal child care centers or to conduct background checks, etc.
2. The Tribal Lead Agency may contract with the local child care resource and referral agency to operate the Tribe's child care program (including determining family eligibility and issuing payments to child care providers or providing high quality activities).

1.3.1 Will the Tribal Lead Agency **directly** administer and operate the CCDF program (98.16(d)(1))?

This question does not apply to the demonstrations referenced in Section 1.1.2 between a consortium and its participating/constituent member Tribes/Villages.

X Yes, the Tribal Lead Agency will directly administer and operate **all** aspects of the CCDF program. (If yes, skip to Section 1.4).

No, the Tribal Lead Agency **will not** directly administer and implement all aspects of the CCDF program

1.3.2 List the names of those entities that will administer/operate aspects of the CCDF program and describe which aspects of the CCDF program they will administer/operate. Describe:

- a. What processes will the Tribal Lead Agency use to monitor administrative and implementation responsibilities performed by other agencies? Describe:

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b. Include copies of the contracts or agreement as Attachment #:

1.4 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 representatives of general purpose local/Tribal government (658D(b)(2); 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)).

Consultation involves meeting with or otherwise obtaining input from an appropriate agency in the development of the Tribal CCDF Plan. For the purposes of developing this Plan, consultation involves meeting with, or obtaining input from, appropriate representatives of the Tribal community.

Did the Tribal Lead Agency consult with any other Tribal or non-Tribal organizations or entities on the development of the Plan?

- X** Yes. Describe: **Lead Agency collaborates with different agencies that work with children for their input on child care needs, Regular Meetings: monthly Early Childhood Initiative meetings, quarterly MNTRECC meetings, weekly staff meetings, WECARE meetings. Emails: notice of public hearing was emailed out across multiple agencies with the opportunity to attend, respond and view copies of the plan (draft). WECARE meetings give the TLA opportunities to visit with many programs (employment & training, mental health, ICW, tribal courts, head start, etc. on our services and for us to hear about their programs and how to discuss services and collaborations. Working committees: Communities Collaborative Committee, Child Care Aware, Becker County Initiative, Project LAUNCH, LIFE Program, THV/MIECHV, Boys & Girls Club.**

No

1.4.1 Check the boxes on how the Tribal Lead Agency consulted with representatives of local/Tribal government, on the development of the Plan:

- X** Regular Meetings. **Early Childhood Initiative, weekly staff meetings, Monthly WECARE meetings, quarterly MNTRECC.**
- Conference Calls.
- X** Working Committees. **Communities Collaborative Committee, Child Care Aware, TELI, Becker County Children's Initiative, Pre-K to Grade 3 Alignment, Project LAUNCH**

Other. Describe:

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 (658D(b)(1)(C); 98.14(c)(1-3); 98.16(f)).

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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, 2019. The Tribal Lead Agency must provide a notice of the hearing throughout the Tribal Lead Agency'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.

Describe the Tribal Lead Agency's public hearing process:

- a. Date(s) of public hearing notice(s) (at least 20 calendar days prior to the public hearing):
- b. Date(s) of public hearing(s) (no earlier than January 1, 2019): **July 25th, 2019 @ 5:00pm**
- c. Location(s) of the public hearing(s): **White Earth Child Care/Head Start building**
- d. How was the public notified of the public hearing? Check all that apply.

- Parent Newsletter
- X Tribal/Local Media **White Earth Nation webpage****
-
- X Internet. Provide website(s): **www.whiteearth.com****
-
- X Social Media (e.g., Facebook, Twitter, etc.) **Facebook: White Earth Child Care/Early Childhood Program & White Earth Nation****

Posting on community bulletin board, etc. Describe:

X Other. Describe: Mailed to providers and parents that are or have been in the past clients of the program.

- e. How was the content of the Plan made available throughout the service area prior to the public hearing? Check all that apply.

-
- X Tribal Offices (including CCDF offices)**
-
- X Internet. Provide website(s): **www.whiteearth.com****
-
- X Email **The public Hearing, plan, information on resources, events, services are distributed throughout the entire RBC employee email list (800+ employees), as well as county contacts, schools, non-tribal early childhood, parents, child care providers.****

X Other. Describe: **Copies made available at Child Care Program upon request and at Public Hearing.**

- 1.4.2 Describe how the Tribal Lead Agency makes the final CCDF Plan and any subsequent Plan Amendments available to the public to the extent practicable:

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Small allocation Tribes are not required to make the final CCDF Plan or any subsequent Plans available to the public but have the flexibility to describe if appropriate.

Large and medium allocation Tribes should post their Plan and Plan amendments on a website, to the extent practicable (e.g., they wouldn't have to do this if they don't have a website).

1.5 Indian Child and Indian Reservation or Service Area

Identify which Indian child(ren) will be counted in your child count (98.81(b)(2)(i)).

1.5.1 Indian Child

Programs and activities are to be carried out for the benefit of Indian children.

While 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 Child Care and Development Block Grant Act's definition of Indian Tribe.

This could include children who are tribal members, whose membership is pending, who are eligible for membership, and/or are children/descendants of members. This could also include adopted children, foster children, and step-children, etc.

The Tribal Lead Agency defines an "Indian child" as: **An Indian Child shall mean who is enrolled, or can show enrollment as far back as a maternal or paternal grandparent, in a federally recognized tribe and who is residing on or near the White Earth Reservation and/or our service area.**

1.5.2 Indian Reservation or Service Area

Programs and activities are to be carried out for the benefit of Indian children living on or near the Indian reservation. The service area must be within a reasonably close geographic proximity to the borders of a Tribe's reservation (with the exception of 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. Tribes can limit services within the reservation boundaries or go beyond the reservation boundaries.

If a Tribal Lead Agency establishes a different service area for CCDF purposes, it must be within a reasonably close geographic proximity to the borders of the Tribe's reservation or existing service area (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 "resides within 20 miles of the reservation boundaries," etc.

The Tribal Lead Agency defines the Reservation/Service Area as: **On or near (up to 25 miles from the reservation boundaries-with the exception of tribally owned and operated Oshki Manidoo Treatment Complex in Bemidji, MN) the White Earth Reservation boundaries.**



Optional: In addition to the description above, a clearly labeled map of the service area is attached. Attachment#:

1.6 Child Count

For the purposes of determining a Tribe/Tribal Organization’s annual CCDF funding level, the Tribal Lead Agency must conduct and submit a triennial child count. For the FY 2020–FY 2022 Plan period, the child count of children under age 13 (as defined in 98.81(b)(2)(i)) will be completed no later than June 30, 2019 and no earlier than July 1, 2018. The Child Count Declaration will be submitted every three years with the triennial Plan and must be submitted this year by July 1, 2019. The tribal count will be effective October 1, 2019–September 30, 2022 and valid for 3 years. If the consortia gains or loses one of its member organizations, then the adjustments will be made accordingly.

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 (98.61(c); 98.62(c); 98.80(b)(1); 98.81 (b)(4)).

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 reside in the designated CCDF service area.

1.6.1 Is the CCDF service area (as defined in 1.5.2) adjacent to, or overlapping with, the CCDF service area(s) of any other Tribal Lead Agencies?

Yes. Identify those other Tribal Lead Agencies **and** describe your Tribal Lead Agency’s process for ensuring unduplicated child counts. Describe:

X No

1.6.2 Complete and attach the “Child Count Declaration” at **Appendix #1**.

A tribal consortium must submit:

- a. An individual Child Count Declaration for each participating Tribe signed by an individual authorized to act for the Tribe; and
- b. A summary listing:
 - The name of each participating Tribe;
 - Each participating Tribe’s individual child count; and
 - The total child count for the entire consortium.



1.7 Coordination of Services

The Tribal Lead Agency is required to coordinate services with other Tribal, Federal, State, and/or local child care and early childhood development programs with agencies responsible for public health, employment services/workforce development, public education, and Temporary Assistance for Needy Families, etc. (658D(b)(1)(D); 98.14(a)(1)(i-xiv); (98.14(a)(4)); 98.16(e)).

Tribal Lead Agencies must demonstrate in the Plan how the Tribe encourages partnerships among its agencies, other public agencies, other tribes and tribal organizations, private entities, and community-based organizations in order to leverage existing service delivery systems for child care and development services. They must also leverage systems to increase the supply and quality of child care and development services.

- 1.7.1 Describe how the Tribal Lead Agency coordinates the delivery of CCDF services with the following agencies or entities and the results of those coordination efforts (e.g., shared goals/purposes for coordination and the process for coordinating): **The Tribal Lead Agency works with all 7 school districts located on or near the reservation, the Boys & girls Club of White Earth, and Head Start Programs (both tribal and non-tribal) by offering information on program services, professional development opportunities available at the Communities Collaborative Conference, SACC mini grants, Library, child development information and training, Early Learning Scholarships, Pre-K to Grade 3 Alignment, School Readiness, Head Start/Kindergarten transitions, screenings and community events (Father’s festival, Week of the Young Child, etc). Lead agency also works with the Head Start Programs on and near the reservation with referrals, advisory committee, food program reporting and RAP (non-tribal Head Start). The Lead Agency works with the statewide Tribal Resources for Early Care (MNTRECC) that includes all 9 tribal CCDF programs throughout the state, local colleges and universities on early childhood educational opportunities for Head Start/Early Head Start staff, child care providers (licensed and non). The Lead Agency collaborates with the MN Department of Education in various early childhood initiatives such as: Technical Assistance Center for Social and Emotional Intervention (TACSEI). Lead Agency works with the Home Health Department on their tribal home visiting program (MIECHV) to work on school readiness with children 2-5 years. The Lead Agency will continue involvement with local, regional, state and national organizations and committees to ensure tribal child care/early childhood issues and concerns are maintained and addressed to improve services for children, families and communities. The lead Agency will collaborate with the MOM’s (Maternal Outreach and Mitigation Services) Program to provide training opportunities. The Lead Agency Licensor is a member of the Child Protection Team, which also includes representation from Indian Child Welfare, Housing and other related programs. The Lead Agency houses the Caring for Kids Store and along with many other programs (White Earth Health, WE Head Start, Indian Health Services, Indian Child Welfare, etc) stocks the shelves and gives points to clients and child care providers based on participation with school, training, parent engagement, well-child checks, WIC appts and home visits, etc. The Tribal Lead Agency licenses and provides training and resources to the child care site at Dream Catchers Homes (supportive housing) and also Oshki Manidoo (tribally operated treatment facility). The Lead Agency continues to meet with Indian Child Welfare and**

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WE Financial Services to discuss and collaborate on child care assistance and Early Learning Scholarships for foster care, adoption or relative care families to seek appropriate funding streams which include Tribal, State and CCDF funding. Lead Agency will continue collaborating with Center for Inclusive Child Care (CICC), Child Care Aware, and Project LAUNCH.

Public health, including the agency responsible for immunizations. Describe: Lead Agency works with local clinics and Indian Health Service for child immunization, dental care, Caring for Kids Store, 0-3 screenings, Early Childhood White Earth Mental Health for referrals and training. Home Health for referrals, training, home visiting and health information. Lead Agency works with Home Health Department on the tribal home visiting program (MIECHV) to work on school readiness with children ages 2.5 to 5. The MIECHV provides funding for three Family Resource Specialists that are housed under the Lead Agency, along with monthly meetings with nurses and Family Resource Specialists and trainings. The Lead Agency is a part of the Tribal Early Learning Initiative (TELI) with its partners Home Health/MIECHV and WE Head Start/Early Head Start Program, Rural Impact, Public Health WECARE and Indian Health Services Pediatrician and Dental, attend monthly early childhood initiative meetings facilitated by the Lead Agency.

Employment services/workforce development. Describe: Lead agency provides child care information to MFIP clients at the White Earth Child Care offices and Naytahwaush E & T sites. White Earth Employment and Training staff and their clients are invited to Program sponsored community events. The Lead Agency has a resource area at the Employment and Training where brochures, program information and community event flyers, and program newsletters are available for the public and MFIP clients. Lead Agency works with local businesses to provide child care information/referral for their employees and to increase community child care options. The lead agency continues to be a dedicated work site for MN Rural CEP workers, ages 14-21 by providing CEP workers a work/training site in child care/early childhood.

Public education. Describe: Health Department and Community Health Education – for referrals, community health news to share with parents/providers, Rural Impact Initiative, collaboration/support for Tobacco Prevention Coalition, healthy foods and physical health in child care, Communities Collaborative Brain Development Conference, WE Early Childhood Initiative, Diabetes Prevention, DOVE program and other community/cultural events. White Earth Tribal and Community College – for referrals, child care services, WECARE, professional development, early childhood education, Ojibwe culture/language opportunities, training/work site for students, advisory committee/conference. Brazelton Touchpoints – for training, early childhood partnerships (Tribal Colleges) and consultations. The Lead Agency continues an annual MOU for land lease for tribal child care building with the White Earth Tribal & Community College and Pine Point Public Schools.

Temporary Assistance for Needy Families. Describe: TANF/MFIP for referrals and child care assistance, licensing, Early Learning Scholarships as well as health & safety, child development, FFN materials for their Resource Room. MN Work Force Center for referrals and child care information to those individuals who may be of Native American descent and eligible for



services through the TLA program. TANF (Becker, Mahnomen & Clearwater Counties) for referrals that include Parent Mentor/Family Resource Specialist. White Earth Financial Services for child care assistance program collaboration for families.

X Child care licensing. Describe: **Becker, Clearwater and Mahnomen counties, Region 2 quarterly meetings**

X State Advisory Council on Early Childhood Education and Care or similar coordinating body. Describe: **Child Care Aware, MNTRECC**

X Statewide after-school network or other coordinating entity for out-of-school time care (if applicable). Describe: **Boys & Girls Club, SACC programs**

X Emergency management and response: Describe: **CC Centers, Child Care Program**

X Child and Adult Care Food Program (CACFP) and other relevant nutrition programs: Describe: **ENP, State Reimbursement Program, Mahnomen Nursing Home.**

McKinney-Vento state coordinators for homeless education and other agencies providing services for children experiencing homelessness and, to the extent practicable, local McKinney-Vento liaisons: Describe:

Agencies responsible for Medicaid and the State Children's Health Insurance Program: Describe:

X Mental Health Services: Describe: **White Earth Mental Health, CICC coach**

X Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development: Describe: **WECARE, Tribal College, Locally within programs**

X Other optional examples Tribal Lead Agencies might consider with which to provide services: Describe: **BRIC**

1.7.2 How does the Tribal Lead Agency determine the Tribal community's child care needs, including the needs of any underserved populations, such as infants and toddlers, families experiencing homelessness, special needs children, and children in need of non-traditional hours of care? Check all that apply.

X Conduct a needs assessment. Describe:

X Survey community members. Describe: **Annual community survey**

X Survey providers. Describe: **waiting lists of providers**



X Other. Describe: **The Lead Agency will continue with community needs assessments and collaborate with Head Start Needs Assessment, WECARE assessments, public hearing survey, MFIP orientation, client surveys, home visiting, tribal college (students/faculty) and Shooting Star Casino employee survey. Community outreach through collaborations.**

Which of the following underserved populations are included? Check

all that apply.

- X** Infants and toddlers
- Families experiencing homelessness
- Special needs children
- Children in need of non-traditional hours of care
- X** Other. Describe: **Relatives as Parents**

1.8 Program Integrity and Accountability

The Tribal Lead Agency, as the single point of contact for the administration of the Tribal CCDF program, is responsible for ensuring that policies and procedures are in place to monitor programs and services, ensure compliance with rules of the program, and provide oversight in the expenditure of all funds, including identifying improper payments and fraud prevention and recovery (98.11(b); 98.60(i); 98.66; 98.67; 98.68).

The final rule requires Tribal Lead Agencies to develop policies and procedures to clearly communicate program information such as requirements, consumer education information, and eligibility information to families and child care providers of all backgrounds.

1.8.1 Does the Tribe or Tribal Lead Agency have written policies and procedures in place to ensure that the Tribal CCDF program complies with all Federal and Tribal rules and regulations?

- X** Yes, and the policies and procedures are available by request. Describe: **Lead Agency will provide copies upon request.**
- Yes, and the policies and procedures are available online. Insert link:
- No, but policies and procedures have been drafted and are awaiting approval by the Tribe's governing body. Describe:

No, but policies and procedures will be in place by October 1, 2019. Describe:

1.8.2 An improper payment is any payment that should not have been made or that was made in an incorrect amount under statutory, contractual, administrative, or other legally applicable requirements.

Incorrect amounts are overpayments or underpayments that are made to eligible recipients (including inappropriate denials of payment for service, any payment that does not account for

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credit for applicable discounts, payments that are for an incorrect amount, and duplicate payments).

An improper payment also includes any payment that was made to an ineligible recipient or for an ineligible good or service, or payments for goods or services not received (except for such payments authorized by law).

In addition, when an agency's review is unable to discern whether a payment was proper as a result of insufficient or lack of documentation, this payment must also be considered an improper payment. Improper payments may result from administrative error, unintentional client/provider program violations, or fraud.

How does the Tribal Lead Agency prevent and identify improper payments? Check all that apply.

- Train staff on CCDF policies and regulations. Describe:
- Conduct supervisory staff reviews or quality assurance reviews. Describe:
- Share data with other programs (e.g., State CCDF, Tribal or State TANF, Head Start, Child and Adult Care Food Program (CACFP), other Tribal offices. Describe:
- Run system reports that flag errors. Describe:
- X** Review enrollment documents, attendance or billing records. Describe: **Assistant Specialist reviews subsidy.**
- Review provider records. Describe:

Ongoing monitoring and assessment of policy implementation. Describe:

X Other. Describe: **WE Finance Department and WE Education Division Director**

approves and reviews all payments through Paramount for accuracy. The TLA Director reviews and monitors all payment requests and billing.

- 1.8.3 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? Check all that apply.



- X** Coordinate with, and refer to other Tribal, State, or federal agencies (e.g., Tribal Council, law enforcement)
- X** Require recovery if the improper payment exceeds a specific dollar amount. Identify the minimum dollar amount: \$ **Any dollar amount is collected in a result from improper over-payment, using various processes listed.**
- X** Recover through repayment plans
- X** Reduce payments in subsequent months

Recover through payroll deductions (for CCDF clients/providers/staff employed by the Tribe)

Other. Describe:

1.8.4 The Tribal Lead Agency has the flexibility to recover improper payments that are the result of unintentional errors/program violations. Does the Tribal Lead Agency choose to investigate and collect improper payments resulting from unintentional errors/program violations?

- X** Yes. How will the Tribal Lead Agency investigate and collect improper payments resulting from unintentional errors/program violations? Check all that apply.
- X** Coordinate with, and refer to other Tribal, State, or Federal agencies (e.g., Tribal Council, law enforcement)
- X** Require recovery if the improper payment exceeds a specific dollar amount. Identify the minimum dollar amount: **Any dollar amount is collected from unintentional errors/program violations utilizing processes stated in 1.8.4.**

X Recover through repayment plans

Reduce payments in subsequent months

- X** Recover through payroll deductions (for CCDF clients/providers/staff employed by the Tribe)
- Other. Describe:

No



2 Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings

Health and safety requirements apply to all Tribal Lead Agencies regardless of allocation size and apply to all child care providers who receive CCDF funds, including providers who only receive quality funds. All Tribal Lead Agencies must certify that there are in effect health and safety requirements applicable to providers serving CCDF children, and that those requirements are under Tribal, Local, or State law. These health and safety requirements must be appropriate to the provider setting and age of the children served, must include specific topics and training on those topics, and are subject to monitoring and enforcement procedures to ensure that providers are complying with the requirements.

This section covers health and safety requirements, including:

- Training (98.44(b))
- Monitoring and enforcement procedures to ensure that child care providers comply with health and safety requirements (98.16(n))
- Exemptions made for relative care providers (98.16(l))
- This section also addresses group size limits; child-staff ratios; and required qualifications for caregivers, teachers, and directors (98.16(m)). The requirements for Disaster Preparedness and Response are also included in this section (98.16(aa), as are the Criminal Background Check requirements (98.16(o))

Tribal Lead Agencies have the option to exempt relative care providers from the health and safety requirements (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles (98.42(c)). This exemption applies only if the individual cares for relative children only.

2.1 Health and Safety Standards and Requirements for CCDF Providers

Tribal Lead Agencies must establish health and safety standards for all types of child care programs (e.g. child care centers, family child care homes, etc.) serving children 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 funds including those providers who are receiving only CCDF quality dollars through the Tribal Lead Agency. The only exception to this requirement is for providers who are caring for their own relatives because Tribal Lead Agencies have the option of exempting relatives from some or all CCDF health and safety requirements. For each category of care offered, indicate the standards that apply. For instance:

- If the Tribal Lead Agency has developed its own standards (even if those standards were adapted from other sources, such as *Caring for Our Children* or State licensing standards), check “Tribal Standards.”

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- If the Tribal Lead Agency requires providers to meet standards established by a state agency (such as state licensing or state department of education), check “State Standards.”
- If the Tribal Lead Agency requires providers to meet standards from more than one source (for example, state licensing standards for off-reservation providers and Tribally-developed standards for providers on the reservation), check “Tribal Standards,” “State Standards,” and “Other Source(s)/Combination of Sources” and describe which standards apply to which providers.
- If the Tribal Lead Agency requires providers to meet standards from a source not listed in the table in columns (a), (b), and (c) (such as Indian Health Service, the Child and Adult Care Food Program, Caring for Our Children Basics, Caring for Our Children 3rd Edition, etc.), then check “Other Source(s)/Combination of Sources” and describe the standards and the source(s) of the standards.

If the Tribal Lead Agency uses a combination of standards, or uses other standards not noted, please describe in the box(s) below.

Table 2.1.1.a Health and Safety Standards Used by the Tribal Lead Agency				
Provider Categories	Tribal Standards	State Standards	Head Start/ Early Head Start Standards	Other Standards/ Combination of Standards
<input type="checkbox"/> Center-based Care	X <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Describe: Indian Health Service Environmental Health Officer, Caring for Our Children as a reference
<input type="checkbox"/> Family Child Care	X <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Describe: Indian Health Service Environmental Health Officer, Caring for Our Children as a reference
<input type="checkbox"/> In-Home Care (In the child’s home)	X <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Describe: Reference Caring for Our Children as a resource
Optional: Provide a link or attachment to the standards indicated above (if applicable): Attachment #:				

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- 2.1.2 To certify, describe how the following health and safety standards for programs serving children receiving CCDF assistance are defined and established on the required topics (98.16(l)).

This question is different from the health and safety training requirements, which are addressed in question 2.1.5.

For each of the required topical areas of the health and safety requirements, Tribal Lead Agencies can indicate the definition of their standard that they use as well as the way in which the standard changes according to the type of care and the ages of children served.

For example, Tribal Lead Agencies need to ensure that providers share how they provide appropriate pediatric first aid and CPR for each age group in a center-based program.

This means that the standard would need to indicate that providers who care for infants receive training in infant CPR and first aid. If those same providers also care for other ages of children, they would need to receive pediatric CPR and first aid appropriate for children ages one year through twelve years old, for instance.

- a. Prevention (including immunizations) and control of infectious diseases

Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of the children served: **All White Earth Tribally licensed providers of infants, toddlers, preschoolers, and school-age children are required to take the classes Health and Safety 1 and 2 before they provide care. The dates they attend Health and Safety 1 and 2 is written on their licenses. In Health and Safety 1 Class - we go over the requirements of have immunizations updated in the children's files along with training on the control of infectious diseases. We also provide the current required forms to use in their files. Each year for all the White Earth Tribally Licensed providers of all ages of children infants – school age they are required to take a supervision class that teaches about the control of infectious diseases and updated handouts and website are gives on this topic. Before new providers start servicing children and their families they are required to have supervision of safety classes that addressing these topics. In educating the prevention of spreading the disease we go over importance of hand washing, cleaning, sanitizing and disinfecting of our programs as well as excluding children when ill and encouraging immunizations. In the classes in respect to infectious diseases we share a list of them – how the disease is spread – what the early symptoms are – the time between exposure and sickness and when a child can return back to childcare once knowingly have the infection diseases We also go over which infectious diseases can be vaccine preventable and which ones doctors will notify the Public Health Service along with which ones pregnant women should seek advice from their maternal provider. In respect to our Tribal Legally Nonlicensed providers within their 1st 90 day of services receive the Supervising for Safety – Legal Nonlicensed course which covers the description as defined in prevention and control of infectious diseases, in which we include updated information on immunizations, too. Annually the Tribal Legally Nonlicensed providers are required to be trained in a supervision of safety class – which as defined above will review 2.1.2 a. The trainings that are provided for Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency.**

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- Describe if relatives are exempt from this requirement: **No**

b. Prevention of sudden infant death syndrome and the use of safe sleep practices

Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: **All White Earth Tribally licensed providers, Tribal Legally Nonlicensed providers, and their helpers of infants, toddlers, preschoolers, and school-age children are required to annually attend the class of “Sudden Unexpected Infant Death/Abusive Head Trauma.” Every other year they have the option of taking it on-line. Providers go over the safe sleep practices with the parents of infants and White Earth Child Care/Early Child Care Program suggests to the providers to put the Safe Sleep Practices definitions in their parent handbook. Brochures are given to providers to give their families of infants on Safe Sleep Practices. The conversations with parents from the safe sleep brochure include safe sleep best practice : All babies are placed on their backs for every sleep, all babies will be place in a safety approved crib or mesh-sided play yard (only allowed in family child care), guidelines of when a baby can stay on back if they roll over, nothing is placed in crib with baby other than a tight fitting sheet over a firm mattress, the requirements if a parent request that baby to be swaddled, a physician directive on a form approved by the Commissioner of DHS if an alternative sleep position it to be followed for a baby. Families are also invited to attend the Sudden Infant Death Syndrome classes. This class is mandatory for both Tribally licensed and legally non-licensed providers before they start services. The trainings that are provided for Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency.**

- Are relatives exempt from this requirement?

- Yes. Describe (i.e., which relatives, all or part of requirement):
- X** No

c. Administration of medication, consistent with standards for parental control

Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: **All White Earth Tribally licensed providers of children ages infants through school-age in the health and safety 1 Class about the signing a form to administer medication- which is a written permission from the child’s parent prior to administered medicines. and also the importance of the 5 Rights of Medication Administration which is the right medication, the right child, the right amount, the right time, and the right route. We also go over the proper storage of mediation, over the counter medication need to be kept in the original container sold by the manufacture. This is reviewed annually at supervision classes. The summary is the same for our Tribal Legally Nonlicensed providers and they receive the education in the “Supervising for Safety Legally Nonlicensed” class. The trainings that are provided for**



Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency.

- Are relatives exempt from this requirement?

Yes. Describe (i.e., which relatives, all or part of requirement):

X No

- d. Prevention of and response to emergencies due to food and allergic reactions

Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: **All White Earth Tribally licensed providers of children ages infants through school-age in the health and safety 1 Class in which we discuss the most common types of food allergies: milk, eggs, peanuts, tree nuts, soy wheat, fish, and shellfish. We define what a food allergy is and how an allergic reaction may look like as it is a response from the immune system in which chemical like histamine are released in the blood. The reaction can cause symptoms like breathing problems, throat tightness, hoarseness, coughing, vomiting, abdominal pain, hives, swelling, or a drop in blood pressure. We go over when to contact their caregiver and when to get emergency services. We also educate the providers on questions to ask about allergies and how to develop an emergency care plan for a child – for example if a child needs an epi-pen on hand and how to administer them. This is reviewed annually at supervision classes. The summary above is the same for our Tribal Legally Nonlicensed providers and they receive the education in the “Supervising for Safety Legally Nonlicensed” class. The trainings that are provided for Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency.**

- Are relatives exempt from this requirement?

Yes. Describe (i.e., which relatives, all or part of requirement):

X No

- e. Safety of Building and physical premises, including the identification of and protection from hazards that can cause bodily injury, such as electrical hazards, bodies of water, and vehicular traffic

- Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: **All White Earth Tribally licensed providers of children ages infants through school-age in the Health and Safety II Class in which they are trained on going through some of the main safety hazards and precautions they can take in their home and yard to keep all the children safe. This class is individualized as the providers share about their physical premises and buildings. Some of the topics are on how fencing for example may be required to protect children from bodies of water and/or traffic. We also go over firearms being locked up with the ammunition in a separate**

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locked area; we discuss the requirements for caring for pets in the child care, having their play space and equipment in good condition for example. We also discuss the hazards in a home and how this can vary depending on a child's age. In prevention – daily checking of the indoor and outdoor environment is essential. This is reviewed annually at supervision classes. This summary is the same for our Tribal Legally Nonlicensed providers and they receive the education in the “Supervising for Safety Legally Nonlicensed” class. The trainings that are provided for Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency.

- Are relatives exempt from this requirement?

Yes. Describe (i.e., which relatives, all or part of requirement):

X No

- f. Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment

- Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: **All White Earth Tribally licensed providers, Tribal Legally Nonlicensed providers, and their helpers of infants, toddlers, preschoolers, and school-age children are required to annually attend the class of “Sudden Unexpected Infant Death/Abusive Head Trauma.”** Every other year they have the option of taking it on-line. In this class to the realm of prevention pediatric abuse head trauma is defined, symptoms and consequences of abusive head trauma is discussed, risk factors for shaken baby syndrome is identified along with strategies to use when stressed, angry or frustrated, plus defining child maltreatment and how prevalent it is and how preventable it can be. Parent education is given on early childhood development reassuring parents that crying is normal for babies, the dangers of shaking a baby, plus being sensitive and supportive in situations when parents are trying to calm a crying baby. One of the strategies in the training is defining “the period of PURPLE crying” in the class. The trainings that are provided for Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency.

- Are relatives exempt from this requirement?

Yes. Describe (i.e., which relatives, all or part of requirement):

X No

- g. Emergency preparedness and response planning resulting from a natural disaster or a human-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a)(1-2) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1-2)).



Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: **All White Earth Tribally licensed providers providers, of children ages infants through school age are required to attend the Health and Safety 2 class before providing services. In this class we explicitly go over emergency preparedness, writing an emergency response plan, what risks are in their neighborhood – examples: floods, fire, gas/chemical leaks, hazardous materials incidents, heat wave, nuclear power plant incidents, winter weather disaster, thunderstorms, tornadoes, and violent incidents. We go over all these risks and which ones are relevant for them along with where they receive disaster warnings, how to respond – sheltering in place – evacuation – or isolating. Planning actions are made – how supervision looks during and emergency and after an major emergency with both the children and families. This is reviewed annually at supervision classes. The summary above is the same for our Tribal Legally Nonlicensed providers and they receive the education in the “Supervising for Safety Legally Nonlicensed” class. The trainings that are provided for Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency. This is reviewed annually at supervision classes. This summary is the same for our Tribal Legally Nonlicensed providers and they receive the education in the “Supervising for Safety Legally Nonlicensed” class. The trainings that are provided for Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency.**

- Are relatives exempt from this requirement?

Yes: Describe (i.e., which relatives, all or part of requirement):

X No

- h. Handling and storage of hazardous materials and the appropriate disposal of biocontaminants

- Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: **_All White Earth Tribally licensed providers of children ages infants through school-age in the Health and Safety Class 2 are educated on Hazardous materials and the appropriate handling, storage, and disposal of biocontaminants. In this class along with what is a hazardous materials – substances which are ignitable corrosive, toxic or reactive. This summary is the same for our Tribal Legally Nonlicensed providers and they receive the education in the “Supervising for Safety Legally Nonlicensed” class. The trainings that are provided for Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency.**

- Are relatives exempt from this requirement?

Yes. Describe (i.e., which relatives, all or part of requirement):

X No



i. Precautions in transporting children (if applicable)

- Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: N/A
- Are relatives exempt from this requirement?
 - Yes. Describe (i.e., which relatives, all or part of requirement):
 - No

j. Pediatric first aid and cardiopulmonary (CPR) certification

- Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: **White Earth Tribally licensed providers are required to have at least one provider certified in Pediatric first aid and Cardiopulmonary (CPR) present at all times in their child care. All Tribally licensed providers must get a recognized certification within 90 days of their first day of work. Tribal Legally Nonlicensed providers, are required to get Pediatric first aid and Cardiopulmonary (CPR) within 60 days of beginning of their services. Every two years all providers are recertified.**
- Are relatives exempt from this requirement?
 - Yes: Describe (i.e., which relatives, all or part of requirement):
 - X** No

k. Recognition and reporting of child abuse and neglect

- Provide a brief summary of how this standard is defined, including any variations based on category of care or ages of children served: **_All White Earth Tribally licensed providers, of children ages infants through school age are required to attend the Health and Safety 1 class before providing services. In this class we go over identification and prevention of abuse and neglect and What is Abuse and Neglect – physical, mental, sexual, neglect and abusive Head Trauma, and we go over how they are mandated reporters with regard to abuse and neglect reporting. If any caregiver has suspicions that a child has been physically or sexually abused or neglected, regardless of location or where the allege perpetrator is they are to report those concerns – this can go back up to 3 years. Verbal reports must be made immediately to the local child welfare agency or law enforcement. Verbal reports must be followed up by a written report within 72 hours. They also receive a copy of the “Resource Guide for Mandated Reporters of Child Maltreatment Concern” by DHS – which is reviewed by the trainer and licenser with them. Also, in the Abuse Head Trauma class providers are trained on mandatory reporting. This is reviewed annually at supervision classes. This summary is the same for our Tribal Legally Nonlicensed providers and they receive the education in the**

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“Supervising for Safety Legally Nonlicensed” class and Abusive Head trauma class. The trainings that are provided for Tribally Licensed providers and Legally nonlicensed providers are by our Develop certified trainer or Child Care Aware agency.

- Are relatives exempt from this requirement?

Yes. Describe (i.e., which relatives, all or part of requirement):

X No

- 2.1.3 The Tribal Lead Agency may also establish standards on optional health and safety topics that reflect the needs of the community served by the Tribal Lead Agency. These optional standards can include those related to nutrition, access to physical activity, caring 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 required health and safety topics in their health and safety standards?

No

X Yes. If yes, please complete the following questions #1-4, as appropriate, on optional health and safety standards.

a. Nutrition

- Summarize how this standard is defined, including any variations based on category of care or ages of children served: Tribally licensed providers and Legally non-licensed providers of all ages infants through school age are offered trainings throughout the year. Nutrition is one of the topics that is offered at least once every 3 years in a training. Yet ongoing through newsletters nutritional health ideas are given to providers and their families they service.

- Are relatives exempt from this requirement?

X Yes. Describe (i.e., which relatives, all or part of requirement): It is not

required for them to attend the classes, yet is an option for continuing education/support and they get the newsletters for themselves and the families they are for on this topic.

No

b. Access to physical activity

- Summarize how this standard is defined, including any variations based on category of care or ages of children served: Through curriculum classes, Tribally Licensed and legally non-licensed providers are taught the importance of physical activity for all



ages-infants through school age. These classes are offered annually. The developed approved classes promote the access to physical activity, by educating the providers to partner with their families of the children they care for, they help meet tribally licensed providers hourly requirement in various knowledge and competency framework content areas to be Parent Aware.

- Are relatives exempt from this requirement?

X Yes. Describe (i.e., which relatives, all or part of requirement): **It is not**

required for them to attend the classes, yet is an option for continuing education/support and they get the newsletters for themselves and the families they are for on this topic.

No

c. Caring for children with special needs

- Summarize how this standard is defined, including any variations based on category of care or ages of children served: **Through classes, Tribally licensed and non-licensed providers are taught various special needs along with strategies for all ages-infants through school age. These classes are offered annually. Per the requests of the providers and the program various special needs are trained on autism, ADHD, sensory processing disorder, FASD, down syndrome and prenatal drug exposure for example. The developed approved classes on these special needs not only educates the providers to partner with their families they care for, they help meet tribally licensed providers hourly requirements in various knowledge and Competency Framework Content-areas to be Parent Aware rated.**
- Are relatives exempt from this requirement?

X Yes. Describe (i.e., which relatives, all or part of requirement): **It is not**

required for them to attend the classes, yet is an option for continuing education/support and they get the newsletters for themselves and the families they are for on this topic.

No

d. Any other areas determined necessary to promote children development or to protect children's health and safety

Summarize how this standard is defined, including any variations based on category of care or ages of children served: **Annually in respect to The Knowledge and Competency Framework Content Areas a minimum of 50 hours a year is offered by our Early Childhood Curriculum Educator as defined: 10 hours – Content Area 1: Child Development and Learning
10 hours – Content Area II.A-II.E: Developmentally Appropriate Learning Experiences**

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10 hours Content Area II.C: Promoting Social and Emotional Development

10 hours Content Area III. Relationships with Families

10 hours Content Area IV.A: Observing, Recording, and Assessing Development or
Content Area IV.B: Assessing and Using Information to Plan

These classes are offered to Tribally Licensed providers and Legally non-licensed providers to choose from to meet their annual hours required. For the Parent Aware Rated Tribally Licensed providers they choose from these classes to meet their Parent Aware each year.

- Are relatives exempt from this requirement?

X Yes. Describe (i.e., which relatives, all or part of requirement): **It is not**

required for them to attend the classes – yet is an option for continuing education/support and they get the newsletters for themselves and the families they care for on this topic, too. Yet each year they need 8 hours of training and they can choose from this area.

No

2.1.4 Standards on Ratios, Group Sizes, and Qualifications for CCDF Providers

Tribal Lead Agencies are required to establish child care standards for providers receiving CCDF funds based on the type of child care setting. The standards include appropriate child to staff ratios (by age range of child), group size limits for specific age populations, and the required qualifications for providers. This requirement also extends to providers who are only receiving quality CCDF dollars (658E(c)(2)(H); 98.16(m); 98.41(d)).

- Providers who receive only quality CCDF dollars may consider the following options when addressing the standards: If the Tribal Lead Agency provides CCDF quality funding to support tribal language and culture camps, language nests, school break camps, summer programs, after-school activities, etc., Tribal Lead Agencies are encouraged to examine currently existing capacity of staff within the Tribe or Tribal Organization that already have demonstrated meeting the standards and qualifications set by the Tribal Lead Agency.
- Another way to approach standards for providers receiving CCDF quality funding only (as opposed to receiving subsidy payment from the Tribal Lead Agency) could be to establish partnerships and collaborations with other departments or programs within the Tribe or Tribal Organization in order to leverage currently existing resources that are already meeting the Tribal Lead Agency's set standards and qualifications.

Tribal Lead Agencies have flexibility in defining standards and provider types that are reflective of the culture and language and that meet the needs of the children and families served.

Answer the following questions to indicate the required ratios, group sizes, and provider qualifications by categories of care and the ages of children.

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Table 2.1.4 Standards on Ratios, Group Sizes, and Qualifications for CCDF Providers	
Center based Child Care Providers	
Infant	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Toddler	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Preschool	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
School Age	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Mixed Age	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Family Child Care Providers	
Infant	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Toddler	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Preschool	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:

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School Age	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Mixed Age	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
In-home Child Care Providers	
Infant	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Toddler	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Preschool	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
School Age	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:
Mixed Age	Define: Ratio: Group Size: Teacher/Caregiver Qualifications:

2.1.5 Health and Safety Training for CCDF Providers on Required Topics

Tribal Lead Agencies are required to have minimum pre-service and/or orientation training requirements (to be completed within 3 months) for caregivers, teachers and directors, as appropriate to the provider setting and the age of children served, that address the health and safety requirements described in 2.1.2 and 2.1.3, as well as child development.

Tribal Lead Agencies must also meet ongoing training requirements on the health and safety topics for caregivers, teachers, and directors of children receiving CCDF funds (658E(c)(2)(I)(i);

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98.44(b)(1)(iii)). The Tribal Lead Agency must describe its requirements for pre-service/orientation training and ongoing training.

Tribal Lead Agencies have flexibility in determining the number of training hours to require, but they may consult with *Caring for our Children: Basics* and/or *Minimum Health and Safety Standards: A Guide for American Indian and Alaskan Native Child Care and Development Fund Grantees* for best practices and the recommended time needed to address these training requirements.

Pre-Service and/or Orientation Training Requirements

- a. Provide the minimum number of pre-service and/or orientation training hours on health and safety topics for caregivers, teachers, and directors required for the following:
 - 1.Center-based Child Care Providers: **18 hours**
 - 2.Family Child Care Homes: **18 hours**
 - 3.In-home Care:
 - 4.Other:
 - 5.Variations for Exempt Relative Providers: **Yes their requirement is 16 hours**
 - 6.Describe any differences for Tribally-Operated Center(s): **None**
- b. Provide the length of time that providers have to complete trainings after being hired to provide care for children (must be 3 months or fewer): **3 months**
- c. Describe how the training is offered, including any variations in delivery (e.g., across standards, in rural areas, etc.). There is no federal requirement on how a training must be delivered: **Trainings are offered on the reservation at various sites – examples: White Earth Child Care, Shooting Start Casino, in providers homes, at the center sites. Also, trainings are offered through Child Care Aware in area towns or online when available.**
- d. In the chart below identify the pre-service and/or orientation training requirements for each topic to be completed before the caregivers, teachers, and director are allowed to care for children unsupervised.

Table 2.1.5.a Health and Safety Pre-service or Orientation Training		
Topic	Required to be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?	
	Yes	No

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Prevention and control of infectious diseases (including immunizations)	X	
Prevention of sudden infant death syndrome and the use of safe-sleep practices	X	
Administration of medication, consistent with standards for parental consent	X	
Prevention and response to emergencies due to food and allergic reactions	X	
Building and physical premises safety, including the identification of and protections from hazards, bodies of water, and vehicular traffic	X	
Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment	X	
Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event	X	
Handling and storage of hazardous materials and the appropriate disposal of bio contaminants	X	
Appropriate precautions in transporting children (if applicable)	N/A	
Pediatric first aid and CPR certification	X	
Recognition and reporting of child abuse and neglect	X	
Child development	X	
Describe other requirements:		

Ongoing Training Requirements

a. Provide the required annual training hours on health and safety topics for caregivers, teachers, and directors for the following:

1. Center-based Child Care Providers: **2 hours**
2. Family Child Care Homes: **2 hours**
3. In-home Care:
4. Other: **Legally unlicensed providers: 2 hours**

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5. Variations for Exempt Relative Providers:

2.2 Monitoring and Enforcement Policies and Practices for CCDF Providers

2.2.1 Enforcement of Licensing and Health and Safety Requirements

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 Tribal and/or State/local health, safety and fire standards, including those described in 98.41 and 98.42(a). This may include, but is not limited to, any systems used to ensure that providers complete health and safety trainings, any documentation required to be maintained by child care providers, and any other monitoring procedures to ensure compliance.

Tribal Lead Agencies may propose an alternative strategy or an alternative approach to meet these requirements. In its justification, the Tribal Lead Agency must describe how the alternative approach is appropriately comprehensive and protects the health and safety of children in care. Tribal Lead Agencies are subject to the provision at 98.42(b)(2) to require inspections of child care providers and facilities unless a Tribal Lead Agency describes an alternative monitoring approach.

How does the Tribal Lead Agency monitor its CCDF providers for compliance with its health and safety requirements? **Check only one approach.**

a. The Tribal Lead Agency follows the provision at 98.42(b)(2) to require inspections of child care providers and facilities as follows (If Tribal Lead Agency checks this box, describe the process:

- For licensed child care providers and facilities: one pre-licensure inspection for compliance with health, safety, and fire standards; and at least one unannounced inspection per year for compliance with all child care licensing, health and safety, and fire standards.
- For license-exempt child care providers and facilities that are eligible to provide services: an annual inspection for compliance with health and safety and fire standards.

b. Tribal Lead Agency ***proposes an alternative monitoring approach*** and provides adequate justification for this approach. (If Tribal Lead Agency checks this box, describe alternative approach.

2.2.2 Alternative Monitoring Approach - Inspections

Answer only if the Tribal Lead Agency is proposing an Alternative Monitoring Approach as indicated in 2.2.1.

A Tribal Lead Agency may, at its option, use differential monitoring or a risk-based approach to design annual inspections, if the content covered during each monitoring visit is representative of the full complement of health and safety requirements, and that the Tribal Lead Agency.

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- Ensures the ratio of licensing inspectors to such child care providers and facilities is maintained at a level sufficient to enable the Tribal Lead Agency to conduct effective inspections on a timely basis in accordance with the applicable Tribal and local laws, and
 - Requires child care providers to report to a designated Tribal entity any serious injuries or deaths of children occurring in the child care.
- a. Describe the Tribal Lead Agency's requirements for inspections prior to the provision of CCDF child care services (if applicable) and ongoing monitoring procedures for each category of care. If monitoring and inspection is conducted by an entity or agency other than the tribe, such as the state licensing agency or the Indian Health Service, please indicate who conducts the visits and how the tribe obtains the results of the monitoring.
1. Center-based Child Care Providers: **Routine: once per month, unannounced: twice a month by licensor and/or Child Care Coordinator**
 2. Family Child Care Providers: **Routine: once per month, unannounced: once per month by licensor.**
 3. In-home CCDF Providers: **none.**
- b. Describe how the Tribal Lead Agency proposes to monitor its CCDF providers for compliance with health and safety requirements using an alternative monitoring approach. Please describe and provide justification on how the alternative methodology ensures the health and safety of children in care:

2.2.3 Monitoring Inspectors

Tribal Lead Agencies must have policies and practices that ensure that individuals who are hired as inspectors 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 and 2.1.3 (658E(c)(2)(K)(i)(I); 98.42(b)(1)).

- a. Describe how the Tribal Lead Agency ensures that inspectors are qualified to inspect child care facilities and providers and that those inspectors have received training on health and safety requirements that are appropriate to the age of the children in care and the type of provider setting (98.42(b)(1)): **Annual training for Licensor as well as accompany the Indian Health Service/Environment Health Officer in his/her monitoring visits as well as accompanied the Child Care Health Consultant training offered by the state. In addition attends local quarterly county/tribal licensor meetings.**

- 2.2.4 The Tribal Lead Agencies must have policies and practices that require the ratio of inspectors 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 (658E(c)(2)(K)(i)(III); 98.42(b)(3)).

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a. To certify, describe the Tribal Lead Agency policies and practices regarding the ratio of inspectors to child care providers (i.e., number of inspectors per number of child care providers) and facilities in the Tribal Lead Agency and include how the ratio is sufficient to conduct effective inspections on a timely basis:

2.2.5 Tribal Lead Agencies have the option to exempt relatives (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles (98.42(c)) from inspection requirements. This exception only applies if the individual cares for relative children only.

Does the Tribal Lead Agency exempt relatives from the inspection requirements listed in 2.1.5?

X Yes, relatives are exempt from all inspection requirements. If the Tribal Lead Agency exempts relatives from all inspection requirements, describe how the Tribal Lead Agency ensures the health and safety of children in relative care:

Yes, relatives are exempt from some inspection requirements. If the Tribal Lead Agency exempts relatives from some inspection requirements, describe which inspection requirements do not apply to relative providers (including which relatives may be exempt) and how the Tribal Lead Agency ensures the health and safety of children in relative care:

No, relatives are not exempt from inspection requirements.

2.3 Criminal Background Checks

Tribal Lead Agencies are required to have in effect policies and procedures to conduct criminal background checks for all child care staff members (including prospective staff members) of all child care programs that are 1) licensed, regulated, or registered under tribal law; and, 2) all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers) (98.43(a)(1)(i)).

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

For FCC homes, this requirement includes the caregiver and any other adults residing in the family child care home who are age 18 or older (98.43(a)(2)(ii)(C)). This requirement does not apply to individuals who are related to all children for whom child care services are provided (98.43(a)(2)(A)(ii)).

A criminal background check must include five specific components (98.43(b)), which encompass two national checks and three state checks. The three state checks must be conducted both in the individual's current state of residence and in any state where the individual has lived within the last five years.



In some instances, a tribe may use its CCDF funds to support direct services delivered by a child care provider whose staff have already met the state’s background check requirements consistent with the CCDF rule (because that provider is licensed by the state and/or receives CCDF funding from the state). In such instances, it is not necessary for the tribe to require additional or duplicative background checks.

Note: Checks of any registries or records maintained by the tribe (rather than a state) are encouraged but not required).

Table 2.3 Criminal Background Checks			
Components	National	Current State of Residence	State Where Lived Within Last Five Years
1. FBI fingerprint check	X		
2. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR)	X		
3. State criminal registry or repository		X Fingerprints required	X Fingerprints required
4. State sex offender registry or repository		X	X
5. State child abuse and neglect registry and database		X	X

2.3.1 National FBI Criminal Fingerprint Search Requirements (98.43(b)(1)); 98.43(a)(1)(i); 98.16(o)).

Describe the requirements, policies, and procedures for the search of the national FBI fingerprint check that apply to staff of child care providers eligible to deliver CCDF services funded by the Tribal Lead Agency.

2.3.2 National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) Search Requirements (98.43(b)(2)); 98.43(a)(1)(i); 98.16(o)).

This is a name-based search. This check must be performed by law enforcement.

Describe the requirements, policies, and procedures for the National Crime Information Center (NCIC) National Sex Offender Registry (NSDR) that apply to staff of child care providers eligible to deliver CCDF services funded by the Tribal Lead Agency.

2.3.3 State Criminal Registry or Repository Check Requirement (in the state where the individual currently resides and in any other state where the individual has resided in the past 5 years) (98.43 (b)(3)(i)); 98.43(a)(1)(i); 98.16(o)).

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Fingerprints are required for this check in the state where the individual currently resides. It is optional to use fingerprints to conduct this check in other states where the individual has resided within the last five years. This check must be completed in addition to the national FBI fingerprint check (2.3.1 above) to mitigate any gaps that may exist between the two sources unless the responding state (i.e., the state checking its criminal repository) participates in the National Fingerprint File (NFF) program. A separate check of the state criminal repository is not necessary if the state participates in NFF and an FBI fingerprint check is conducted. A list of states participating in NFF can be found at:

<https://www.fbi.gov/services/cjis/compactcouncil/interstate-identification-index-iii-national-fingerprint-file-nff>.

Describe the requirements, policies, and procedures for the state criminal registry or repository check that apply to staff of child care providers eligible to deliver CCDF services funded by the Tribal Lead Agency.

- 2.3.4 State Sex Offender Registry or Repository Check Requirement (in the state where the individual currently resides and in any other State where the individual has resided in the past 5 years) (98.43 (b)(3)(i)); 98.43(a)(1)(i); 98.16(o)).

It is optional to use fingerprints to conduct this check. This check must be completed in addition to the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) above) to mitigate any gaps that may exist between the two sources.

Describe the requirements, policies, and procedures for the state sex offender registry or repository check that apply to staff of child care providers eligible to deliver CCDF services funded by the Tribal Lead Agency.

- 2.3.5 State Child Abuse and Neglect Registry Check Requirements (in the state where the individual currently resides and in any other State where the individual has resided in the past 5 years) (98.43 (b)(3)(iii); 98.43(a)(1)(i); 98.16(o)).

This is a name-based search.

Describe the requirements, policies, and procedures for the state child abuse and neglect registry check that apply to staff of child care providers eligible to deliver CCDF services funded by the Tribal Lead Agency.

- 2.3.6 Provisional Hire Requirements

The CCDF Final Rule states a child care provider must submit a request to the appropriate Tribal agency for a criminal background check for each child care staff member, including prospective

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provider/staff members, prior to the date an individual becomes a child care provider/staff member and at least once every 5 years thereafter (98.43(d)(1)(2)).

A prospective child care provider/staff member may not begin work until one of the following results have been returned as satisfactory either:

- The FBI fingerprint check; or
- The search of the state criminal registry or repository using fingerprints in the state where the provider/staff member resides.

The child care provider/staff member must be supervised at all times pending completion of all the background check components (98.43(d)(4)).

Describe the Tribal Lead Agency requirements related to the provisional hire of prospective child care provider/staff members.

- 2.3.7 Appeals. The Tribal Lead Agency must have a process for a child care provider/staff member to appeal the results of his or her background check to challenge the accuracy or completeness of the criminal background report, as detailed in 98.43(e)(3).

Describe how the Tribal Lead Agency provides opportunities for applicants to appeal the results of background checks:

- 2.3.8 Fees. The Tribal Lead Agency may not charge fees that exceed the actual costs of processing applications and administering a criminal background check (98.43(f)).

Describe how the Tribal Lead Agency ensures that fees charged for completing the background checks do not exceed the actual cost of processing and administration. Tribal Lead Agencies can report that no fees are charged if applicable (98.43(f)):

- 2.3.9 Relatives. Federal rules do not require background checks for relative providers who receive CCDF; therefore, tribes have the flexibility to decide which background check requirements relative providers must meet, as defined by CCDF in 98.2 under eligible child care provider.

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

Does the Tribal Lead Agency exempt relatives from background checks?

- Yes, relatives are exempt from all background check requirements.
- X** Yes, relatives are exempt from some background check requirements. If the Tribal Lead Agency exempts relatives from some background check requirements, describe which background check requirements do not apply to relative providers: **Fingerprints**



No, relatives are not exempt from background check requirements.

2.3.10 Alternative Approach for Background Checks. Tribal Lead Agencies are subject to the background check requirements for CCDF providers. However, they may propose and provide a justification for an alternative approach for background checks. The alternative approach is subject to ACF approval, and ACF will not approve approaches with blanket exemptions or waivers that bypass the intent of protecting children’s safety.

Does the tribe have an alternative approach for background checks?

Yes, the tribe has an alternative approach for background checks. Describe which background check requirement(s) at 45 CFR 98.43 that the tribe does not meet, and the reason:

Describe the tribe’s alternative approach, including how it is appropriately comprehensive and protects the health and safety of children:

No, the tribe does not have an alternative approach for background checks; it meets all background check requirements at 45 CFR 98.43.

2.4 Disaster Preparedness and Response Plan

Tribal Lead Agencies are required to establish a Child Care Disaster Plan for the Tribal CCDF Service Area (658E(c)(2)(U)). They 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 Chairperson or a major disaster or emergency (as defined by Section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5122)

2.4.1 Describe how the Child Care Disaster Plan was developed in collaboration with the appropriate stakeholders, including other programs within the Tribal Lead Agency’s governance structure:

2.4.2 Describe how the Child Care Disaster Plan includes the Tribal Lead Agency’s guidelines for the continuation of child care subsidies and child care services, which may include the provision of emergency and temporary child care services during a disaster and temporary operating standards for child care after a disaster:

2.4.3 Describe Tribal Lead Agency procedures for the coordination of post-disaster recovery of child care services:

2.4.4 Describe how the Tribal Lead Agency ensures that providers who receive CCDF funds have the following procedures in place: evacuation; relocation; shelter-in-place; lockdown; communications with and reunification of families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions:

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2.4.5 Describe how the Tribal Lead Agency ensures that providers who receive CCDF funds have the following procedures in place for child care staff and volunteers – emergency preparedness training and practice drills as required in 98.41(a)(1)(vii):

- Every 12 months
- Other. Describe:

3 Supporting Continuous Quality Improvement

Tribal Lead Agencies are required to reserve and use a portion of their Child Care and Development Fund program expenditures for activities designed to improve the quality of child care services and to increase parental options and access to high-quality child care (98.53). These activities can benefit infants and toddlers through school age populations.

Tribal Lead Agencies are required to report on these quality improvement investments through CCDF in two ways:

- In the Plan, Tribal Lead Agencies will describe the types of activities supported by quality investments over the 3-year period and will provide a description of their strategies to increase the supply and improve the quality of child care services for children in underserved areas, infants and toddlers, children with disabilities, and children who receive care during nontraditional hours (658G(b); 98.16(j); 98.53).
- ACF will collect annual data on how much CCDF funding is spent on quality activities using the expenditure report (ACF-700 and ACF-696T). These reports will be used to determine compliance with the required quality and infant and toddler spending requirements (658G(d)(1); 98.53(f)).

Tribal Lead Agencies must fund quality efforts in at least one of the following 10 activities (98.53(a)):

1. Supporting the training and professional development of the child care workforce
2. Improving on the development or implementation of early learning and developmental guidelines
3. Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services
4. Improving the supply and quality of child care programs and services for infants and toddlers
5. Establishing or expanding a statewide system of child care resource and referral services
6. Supporting compliance with requirements for licensing, inspection, monitoring, training, and health and safety (as described in section 2)



- 7. Evaluating the quality of child care programs, including evaluating how programs positively impact children
- 8. Supporting providers in the voluntary pursuit of accreditation
- 9. Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development
- 10. Carrying out other activities determined by the Tribal Lead Agency to improve the quality of child care services provided, and for which measurement of preparedness, child safety, child well-being, or entry to kindergarten is possible. This can include activities and services related to tribal language and culture and consumer education activities.

3.1 Quality Improvement Goals and Activities

In completing this section, the Tribal Lead Agency should only describe activities funded either entirely, or in part, with tribal CCDF dollars. All Tribal Lead Agencies must spend a percentage of their total CCDF expenditures on quality improvement activities.

Quality Spending	FY 2020	FY 2021	FY2022
Quality Set-Aside (All)	8%	8%	9%
Infant-Toddler (Medium and Large)	3%	3%	3%
Total Quality (Small)	8%	8%	9%
Total Quality (Medium and Large)	11%	11%	12%

Identify the quality improvement goals and corresponding activities in which the Tribal Lead Agency is investing in this plan cycle. Check the specific quality activities in a-k that have been identified as priorities by the Tribal Lead Agency. Under each quality activity category, please select all the specific topics that apply (As a reminder, providers receiving only CCDF quality funds must still meet all the health and safety requirements, as described in Section 2) (98.41; 98.83):

- a. Supporting the training and professional development of the child care workforce. Please check the following applicable topics:
 - Prevention and control of infectious diseases (including immunizations)
 - Prevention of sudden infant death syndrome and use of safe sleeping practices
 - Administration of medication, consistent with standards for parental consent
 - Prevention of and response to emergencies due to food and allergic reactions

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- | | |
|---|--|
| <input checked="" type="checkbox"/> X Prevention of shaken baby syndrome and abusive head trauma | <input type="checkbox"/> X Handling and storage of hazardous materials and the appropriate disposal of bio contaminants |
| <input checked="" type="checkbox"/> X Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human caused event (such as violence at a child care facility) | <input type="checkbox"/> X Building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic |



- | | |
|--|---|
| <input type="checkbox"/> X Precautions in transporting First aid and cardiopulmonary children (if applicable) resuscitation (CPR) | <input type="checkbox"/> certification |
| <input type="checkbox"/> Family engagement Access to | <input type="checkbox"/> physical activity |
| <input type="checkbox"/> X Nutrition Promotion of child | <input type="checkbox"/> development |
| <input type="checkbox"/> X Language and literacy Caring for | <input type="checkbox"/> children with special |
| <input type="checkbox"/> | <input type="checkbox"/> health or developmental needs |
| <input type="checkbox"/> Fiscal management Administration | <input type="checkbox"/> and program management |
| <input type="checkbox"/> Curriculum development and Child | <input type="checkbox"/> care as a business instruction |
| <input type="checkbox"/> Implementing developmentally | <input type="checkbox"/> Other |
| topic(s): ___ appropriate, culturally and linguistically responsive instruction | |

b. Supporting the career development pathways of the child care workforce. Please indicate the option(s) that apply:

- | | |
|--|---|
| <input type="checkbox"/> X Credit towards required training hours | <input type="checkbox"/> X Certificate |
| <input type="checkbox"/> Credential Degree | <input type="checkbox"/> X Other topic(s): CDA, TEACH |
| <input type="checkbox"/> scholarships | |

Optional: Describe any of the activities checked above:

c. Developing, maintaining, or implementing early learning and developmental guidelines describing what children should know and be able to do at each stage of their development (658E(c)(2)(T); 658G(b)(2)). Early Learning Guidelines are intended to support teachers, providers and directors to learn what children should know and be able to do at different developmental stages in order to experience school success. Early Learning Guidelines often provide examples of activities that can be used to develop curriculum but are not intended to serve as curriculum. Check all that apply.



- X** Supporting use of the State’s early learning guidelines
- X** Developing your own guidelines or adapting State guidelines to reflect your Tribe’s language and culture
- X** Providing trainings for staff on child development and early learning guidelines
- X** Participating in the development or revision of the State’s Early Learning

Guidelines Other. Describe:

Optional: Describe any of the activities checked above:

- d. Developing, implementing, or enhancing a quality rating and improvement system (QRIS) for child care providers and services (658G(b)(3)). A QRIS is a systemic approach to assess, improve, and communicate the level of quality in early and school-age care and education programs. Similar to rating systems for restaurants and hotels, QRIS award quality ratings to early and school-age care and education programs that meet a set of defined program standards.

By participating in their state or tribe’s QRIS, early and school-age care providers embark on a path of continuous quality improvement. Even providers that have met the standards of the lowest QRIS levels have achieved a level of quality that is beyond the minimum requirements to operate. Please indicate which options are applicable:

- X** Participating in a state QRIS
 - Implementing a tribal QRIS or similar rating system
 - X** Developing a tribal QRIS or similar rating system
 - Collaborating with other tribes to implement a QRIS or similar rating system
 - X** Other. Describe: **Parent Aware**
- e. Establishing or expanding a system of child care resource and referral (CCR&R) services, assisting parents with finding and choosing a child care provider; collecting and analyzing child care provider supply and demand data; and providing training and support to providers (658E(c)(3)(B)(iii); 658G(b)(5)). Check all that apply.

- X** Using a state CCR&R
- Operating a CCR&R
- X** Partnering with other tribes to offer CCR&R services
- X** Incorporating CCR&R services into program services



Other. Describe: **MNTRECC**

Optional: Describe any of the activities checked above:

- f. Improving the supply and quality of child care services for infants and toddlers. Please check the following applicable topics:
- Offering Nontraditional hours
 - Coordinating with Early Head Start or Early Head Start-Child Care Partnerships
 - Coordinating with home visiting
 - Providing training and professional development to enhance child care providers' abilities to provide developmentally appropriate services for infants and toddler
 - Providing coaching, mentoring, and/or technical assistance on this age group's unique needs from statewide or territory-wide networks of qualified infant-toddler specialists

Coordinating with early intervention specialists who provide services for infants and toddlers with disabilities under Part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.)

- Developing infant and toddler components within the early learning and developmental guidelines/standards, etc.
- Improving the ability of parents to access transparent and easy-to-understand consumer information about high-quality infant and toddler care that includes information on infant and toddler language, social-emotional, and both early literacy and numeracy cognitive development
- Language and culture revitalization for infants and toddlers
- Other. Describe:

Optional: Describe any of the activities checked above:



- g. **X** Facilitating compliance for inspections, monitoring, training, health and safety, and with licensing standards. Please check the following applicable topics:

- X** Provide health and safety materials/equipment
- X** Grants/mini-grants for health and safety equipment/materials
- X** Classroom materials and resources
- X** Financial assistance in meeting licensing requirements
- X** Conduct monitoring visits of child care providers

Other. Describe:

Optional: Describe any of the activities checked above:

- h. **X** Evaluating the quality of child care programs, including how programs positively impact children. Please check the following applicable topics:

- X** Purchasing quality assessment tools
- X** Implementing surveys to collect stakeholder input
- X** Contracting with outside evaluator to assess child care program quality
- X** Conducting internal training so that staff members are able to conduct quality evaluations (i.e., using an environmental rating scale)

Other. Describe:

Optional: Describe any of the activities checked above:

- i. **X** Supporting providers in the voluntary pursuit of accreditation. Please check the following applicable topics:

Tribes can use quality funds to support child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid and reliable program standards of high quality. Accreditation is one way to differentiate the quality of child care providers. In order to gain accreditation, child care centers and family child care homes must meet certain quality standards outlined by accrediting organizations.

- Using accreditation guidelines as a quality measure
- Funding any aspect of national accreditation (for example, accreditation from the



National Association for the Education of Young Children or the National Association for Family Child Care, or accreditation developed by a Tribal Association)

- Paying annual accreditation fees
- X** Other. Describe: **CDA, TEACH for providers**

Optional: Describe any of the activities checked above:

- j. Supporting Tribal or local efforts to adopt high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development. Please check the following applicable topics:

- Using Head Start Performance Standards
- Using Stepping Stones to Caring for Our Children
- Using Caring for Our Children Basics
- Using Minimum Health and Safety Standards: A Guide for American Indian and Alaska Native Grantees
- Using a combination of the above listed standards. Describe: ___ Other.
- Describe:

Optional: Describe any of the activities checked above:

- k. Other activities determined by the Tribal Lead Agency to improve the quality of child care services and which measurement of outcomes is possible related to improved provider preparedness, child safety, child well-being, or kindergarten entry. Please check the following applicable topics:

- 1. Culturally Relevant Activities
 - Incorporating tribal language into child care settings
 - Modifying curriculum to reflect tribal culture
 - Serving traditional Native foods in child care programs
 - Offering culturally-based training opportunities for parents and providers
 - Providing information and training to non-Native providers about working with Native children and families
 - Partnering with language and culture departments to build curricula
 - Implementing immersion classrooms or language nests
 - Training teachers to learn how to implement language and culture in the classroom
-

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Other. Describe:

Optional: Describe any of the activities checked above:

2. Consumer Education for Parents and Providers
- Written materials, including newsletters, brochures, checklists, etc., on child care topics
- Local/tribal media
- Social media, such as Facebook, Twitter, Instagram
- Counseling from Resource and Referral Agencies, including information about other early childhood and social/human services programs for which families and providers may also qualify
- Internet, including electronic media, publications, and webcasts on child care topics
- Postings on community bulletin boards
- Other. Describe:

Optional: Describe any of the activities checked above:

3. Describe any other quality activities, besides the activities checked above, that the Tribal Lead Agency intends to implement during this Plan period:

3.1.2 How did the Tribal Lead Agency identify the goals and activities to improve quality as described in 3.1? For example, did the Tribal Lead Agency conduct provider surveys or assessments that identified the need for quality improvements?

- Surveys to parents, providers, and tribal leadership. Describe:
- Community assessments. Describe:
- Self-assessments. Describe:
- Parent, Family, Community or Tribal meetings. Describe: ___ Other.
- Describe:

3.1.3 How does the Tribal Lead Agency evaluate progress toward meeting the overall child care quality improvement goals and activities described in 3.1 (658G(d)(3))?



- Follow-up surveys to parents, providers, and tribal leadership. Describe:
- Ongoing community assessments. Describe:
- Self-assessments/program evaluation. Describe:
- Parent, Family, Community or Tribal meeting sign in sheets/attendance logs. Describe:
- Other. Describe:

3.2 Supporting Training and Professional Development of the Child Care Workforce with CCDF Quality Funds

The Tribal Lead Agency must develop training and professional development requirements, including pre-service or orientation training (to be completed within three months) and ongoing requirements designed to enable child care providers to promote the social, emotional, physical, and cognitive development of children and to improve the knowledge and skills of the child care workforce. Such requirements shall be applicable to child care providers caring for children receiving CCDF funds across the entire age span, from birth through age 12 (658E(c)(2)(G)). Ongoing training and professional development should be accessible and appropriate to the setting and age of the children served (98.44(b)(2)).

3.2.1 Identify how the Tribal Lead Agency's training and professional development requirements are appropriate, to the extent practicable, for child care providers who care for:

- Infants and toddlers. Describe:
- Preschoolers. Describe:
- School-age children. Describe:
- Children who are Indigenous-language learners. Describe:
- Children with developmental delays and disabilities. Describe:

a. Do Tribal CCDF providers participate in the state's training and professional development system? For example, Tribal CCDF providers might participate in trainings offered by the local child care resource and referral agencies or state-funded training organizations.

- X** Yes. Describe: **Lead Agency collaborates with local agencies for training opportunities.**
- No. Check all that apply.

The Tribal Lead Agency does not have sufficient information about the state's training and professional development opportunities to share with Tribal CCDF providers.



- The state’s training and professional development opportunities are not appropriate for providers caring for Native children.
- The state’s training and professional development opportunities are not accessible to Tribal CCDF providers.
- The state’s training and professional development opportunities are not affordable for Tribal CCDF providers.
- Other. Describe:
- Unknown

b. Has the Tribal Lead Agency been contacted by the state for input on how to make the state’s trainings and professional development opportunities more culturally relevant for Native American children?

- X** Yes. Describe: **Child Care Aware**
- No

3.3 Building the Supply of High-Quality Care

3.3.1 Describe the strategies being implemented by the Tribal Lead Agency to increase the supply and improve the quality of child care services for the following groups of children.

- a. Children in underserved areas. Describe:
- b. Infants and toddlers. Describe:
- c. Children with disabilities. Describe:
- d. Children who receive care during nontraditional hours. Describe:

3.4 Funding for Quality Activities

3.4.1 Tribal Lead Agencies may leverage other funds to support their quality improvement goals and activities. Other funding sources might include tribal funds, state funds, foundation funds, publicprivate partnerships, etc. Are all the activities that are checked or described in this section funded solely with Tribal CCDF dollars?

- X** Yes
- No. List which activities are funded with other sources and indicate the source of funds used (specific funding amounts are not required):



4 Small Allocation Tribes Only – Direct Services

The Final Rule exempts Tribes receiving small allocation (less than \$250,000) from the majority of the CCDF requirements to allow more flexibility in how they spend their CCDF funds and to focus these funds on health and safety and quality spending. Small allocation Tribes must spend their CCDF funds in alignment with the goals and purposes of CCDF and comply with the health and safety, monitoring, background checks and quality spending requirements. To align with these limited CCDF requirements, Tribes with small allocation will also complete an abbreviated Plan. This approach balances increased flexibility with accountability and allows Tribes with small allocation to spend their CCDF funds in ways that would most benefit their communities.

This does not preclude small allocation Tribes from offering direct services. Small allocation Tribes can determine their own eligibility requirements. Small allocation Tribes who provide direct services shall provide OCC with an overview of their direct services requirements.

Indicate if the Small Allocation Tribe will offer direct child care services. Check the appropriate box below:

No, as a Small Allocation Tribe we will not be offering direct child care services. **Stop here and go to the appendices.**

Yes, as a Small Allocation Tribe we will offer direct child care services. Complete the questions below.

a. How does the Tribal Lead Agency provide Direct child care services? Choose all that apply:

- Certificates/Vouchers
- Tribally Operated Center
- Grants or Contracts
- Other. Describe:

b. Tribal Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for Tribal CCDF assistance. Describe how can parents apply for child care services? ___.

c. Does the Tribal Lead Agency provide child care to children who receive, or need to receive, protective services?

- Yes, define “Protective services”:
- No

d. Tribal Lead Agencies that have an eligibility criteria based on family income must have and periodically revise a sliding fee scale for CCDF families’ contributions that varies based on income and the size of the family.

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1. Attach copy of the sliding fee scale (Enter Attachment #: ___)
2. What is the sliding fee effective date: ___.
- e. Does the Tribal Lead Agency waive family contributions/co-payments?
 Yes, describe
 No
- f. Attach the Tribal Lead Agencies payment rate (Enter Attachment #)
- g. Describe the process parents use to make complaints against CCDF providers:
- h. Describe how the Tribal Lead Agency maintains a record of substantiated parental complaints:

Small Allocation Tribes Stop Here – Go directly to the Appendices.

5 Provide Stable Child Care Financial Assistance to Families

5.1 Eligible Children and Families

Tribal Lead Agencies with large and medium allocations must include the basis for determining family eligibility through one of two options:

3. 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) be from families whose assets do not exceed \$1,000,000 (as certified by such family member); and (3)(a) reside with a parent(s) who are working or attending a job training or educational program; or (3)(b) receive, or need to receive, protective services (658P(4); 98.20(a)).
4. Categorical Eligibility: If the Tribe's median income is below 85 percent of the State Median Income, the Tribal Lead Agency has the option to consider any Indian child in the Tribe's service area to be eligible to receive CCDF funds, regardless of a family's income, work, or training status, provided that provision for services still goes to those with the highest need (98.81(b)(1)(i). If Tribal Lead Agencies choose to take advantage of this option, they can create opportunities to align CCDF programs with other Tribal early childhood programs, including Tribal home visiting, Early Head Start, and Head Start. This provision also allows Tribes to take advantage of Early Head Start-Child Care Partnership grants.

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Categorical Eligibility gives Tribal Lead Agencies the ability to deem all Indian children in the Tribe's service area eligible for child care services. However, Tribal Lead Agencies who opt to use categorical eligibility must still meet all other CCDF requirements around stable financial assistance and equal access.

Grantees who elect to use categorical eligibility will receive the same funding allocation as if they had chosen to use traditional eligibility thresholds. Additional funds will not be allocated.

Additionally, Tribal Lead Agencies should take all CCDF Final Rule provisions into account when determining whether they will use categorical eligibility, such as the quality expenditure requirements, health and safety standards, and enforcement and criminal background checks.

5.1.1 Eligibility Criteria Related to the Child

Eligible children who reach the maximum age within the 12-month eligibility period shall continue to receive CCDF services until their current 12-month eligibility expires.

a. The Tribal CCDF program serves children from 6 (weeks/months/years) through **12** (weeks/months/years). (Note: Maximum age is through age 12).

b. Does the Tribal Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care (658P(3); 98.20(a)(1)(ii))?

- X** Yes, and the upper age is 18 (may not equal or exceed age 19). Define "physical or mental incapacity": **Children ages 6 weeks to 18 years old that have a physical or mental condition (and have been medically diagnosed by a physician) which then determines the child incapable of self-care (documentation required). Also, children who meet the definition of physical and mental incapacity.**

No

c. Does the Tribal Lead Agency allow CCDF-funded child care for children age 13 and older but below age 19 years who are under court supervision (98.20(a)(1)(ii))?

- Yes, and the upper age is (maximum age is through age 18).
- X** No

5.1.2 Does the Tribal Lead Agency implement categorical eligibility?

- No. Complete all of section 5
- Yes. Complete the table below and skip to section 5.1.5.

5.1.3 Complete the table below to demonstrate that the Tribal Median Income (TMI) is below 85 percent of the State Median Income (SMI). Column (c) values must be less than column (b) values.

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Table 5.1.3 Categorical Eligibility Tribal Median Income is below 85 Percent of the State Median Income			
	(a)	(b)	(c)
Family Size	100% of State Median Income (SMI)	85% of SMI	Tribal Median Income (TMI)
	\$/month	\$/month [Multiply (a) by 0.85]	\$/month
1*			
2			
3			
4			
5			
6			
7			
8			

***Note:** On a case-by-case basis, Tribal Lead Agencies may consider a child in foster care to be a “family of one”.

a. Attach documentation of the TMI and SMI data sources. Tribal Lead Agencies may use tribally-collected income data, but Census data is preferred. The data should be the most recent median income (TMI or SMI) data available.

1. Source of data and date of Tribal Median Income (e.g., American Community Survey, 2017):

2. Source of data, date of State Median Income, and name of State:

3. Attachment #:

5.1.4 Eligibility Criteria Based on Reason for Care

In order to be eligible to receive CCDF services, children must reside with a parent or parents(s) who are working, attending a job training or educational program, receive or need to receive protective services or are engaged in a job search activity (unless the Tribal Lead Agency uses Categorical Eligibility).

Tribal Lead Agencies have broad flexibility in defining “working,” “attending a job training program,” and “attending an educational program.” The definitions provided below should include any allowable activities, including travel time and study time. For example, a definition of

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“working” could include working for a salary or wages, self-employment, drug or alcohol rehabilitation, subsistence activities, job search, and/or volunteering, as well as the travel time to and from the activity. Definitions should also address any limitations, such as minimum hours required, or maximum hours allowed.

a. How does the Tribal Lead Agency define “working, job training, education and attending a job training or educational program” for the purposes of CCDF eligibility at the time of determination? Provide the definitions below:

1. “Working”: **Shall mean employed or self-employed and working at least 20 hours per week. If the parent is looking for work, child care assistance may be provided for a maximum of 60 hours in a four month period for job search activities. Child Care assistance will cover for regular working hours (including lunch and a maximum of two hours travel time round trip per day). The TLA will provide up to one month of child care assistance to parent(s) who have interruption in their employment to find new employment.**
2. “Job training”: **Shall mean training in a specific field to obtain employment in the local labor market.**
3. “Education”: **Shall mean basic education, GED classes or alternative education classes leading to a high school diploma or equivalent, or a program approved by the State Board of Education leading to a degree or certification. Application must provide verification of enrollment and attendance.**
4. “Attending job training or education program” (e.g., number of hours, travel time):

b. Does the Tribal Lead Agency allow parents to qualify for CCDF assistance for education and/or training participation alone (without additional minimum work requirements)?

- No. Describe the additional work requirements:
- X** Yes

c. Does the Tribal Lead Agency consider engaging in job search or seeking employment an eligible activity at initial eligibility determination (at application) and at the 12-month eligibility re-determination (must provide a minimum of 3 months)?

- No
- X** Yes, Describe the policy or procedure:

5.1.5 Does the Tribal Lead Agency provide child care to children who receive, or need to receive, protective services?



- No. (Skip to 5.1.6)
- X** Yes. Complete a-d below.

Tribal Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases, including other vulnerable children such as homeless children. If the Tribal Lead Agency provides CCDF-funded child care to children in foster care whose foster care parents are not working or in education/training activities, these children are considered to be in protective services and must be included in this definition for CCDF purposes.

a. Define “protective services” for the purposes of eligibility: **Protective services are defined as those services to families identified by the county or tribal social services as being at risk for abuse and neglect. The county or tribal agency will have had to open a file on that child with out of home placement to authorize foster parentage. Verification of foster payment or relative case is required from the responsible fiscal agency.**

b. Are children in foster care considered to be in protective services?

- No
- X** Yes, and foster care is included under the Tribal Lead Agency’s definition of protective services in 5.1.5(a) above. (This means that, for CCDF purposes, the Tribal Lead Agency considers these children to be served under the protective services eligibility category).

c. Does the Tribal Lead Agency waive the income eligibility requirements for cases in which children receive, or need to receive, protective services on a case-by-case basis (658E(c)(5))?

- X** No
- Yes

d. Does the Tribal Lead Agency provide respite child care to custodial parents of children in protective services?

- X** No
- Yes, and respite care is included under the Tribal Lead Agency’s definition of protective services in 5.1.5(a) above.

e. Does the Tribal Lead Agency waive the asset limit on a case-by-case bases for families defined as receiving, or in need of, protective services?

- X** No
- Yes. If yes, please identify the policy or procedure:

5.1.6 Eligibility Criteria Based on Family Income

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- a. How does the Tribal Lead Agency define “income” for the purposes of eligibility? **Applicant is required to provide the following sources of income for the past 6 months: employment, child support/alimony, unemployment, social security, farm income, self-employment, foster care, MFIP/relative care. The total gross income for the past 6 months is multiplied by two for the yearly total. The applicant’s spouse or significant other must provide income verification. This includes the spouse or significant others who the application has a child with or a married spouse (even though they do not biologically have children together). Applicants that receive TANF/MFIP, foster care payments, SSI, or relative TANF/MFIP must verify that income source, however, they are only required to pay the minimum copayment of \$50. TANF/MFIP applications are required to apply at their County TANF/MFIP agency first for child care assistance. TLA works with county TANF/MFIP agencies to confirm eligibility and/or child care services. Teenage parent(s) are not required to provide income verification (only verification of school enrollment or work schedule and attendance). The minimum co-payment of \$50 is waived for teenage parent.**

For the purposes of eligibility determination, Tribal Lead Agencies have flexibility in defining “income.” This flexibility allows for the exclusion or deduction of certain types of income (as defined by the Tribe) from calculations of total family incomes.

- b. During the eligibility determination or redetermination process, the Tribal Lead Agency must consider fluctuations in family income. Tribal Lead Agencies have the flexibility to consider irregular fluctuations in income when determining and redetermining eligibility. Taking income fluctuations into account can be done by averaging income annually or disregarding temporary, short-term income increases. This is particularly important for families who rely on work that is unpredictable or seasonal in nature, such as agriculture, construction work, 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. Describe the Tribal Lead Agency determination and redetermination policies and procedures:

- c. Does the Tribal Lead Agency establish additional eligibility criteria (98.16(g)(5), 98.20(b))?

X No

Yes. Describe:

If additional eligibility criteria include different income eligibility limits, please attach additional income eligibility tables and indicate attachment number(s):

The Tribal Lead Agency has flexibility in establishing additional eligibility criteria. Additional criteria could include, for example, Tribal applicants first applying with the State CCDF program; higher income limits in one part of the tribal service area; or an asset/resource limit.

- d. Tribal Lead Agencies must establish CCDF family income eligibility limits. Those limits cannot exceed 85 percent of the Grantee Median Income (GMI). A Tribal Lead Agency has the

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flexibility to use either State Median Income or Tribal Median Income as its GMI. Check the appropriate box below to indicate which option the Tribal Lead Agency has selected:

X State Median Income (SMI) for a family of the same size.

Source (e.g., U.S. Census Bureau, etc.): ___ Year:

Tribal Median Income (TMI) for a family of the same size residing in the area served by the Tribal Lead Agency.

Source: (e.g., tribal community assessment, etc. ___ Year:

Tribes may use tribally-collected income data, but we strongly recommend that Tribes use Census data. For either option, the data should be the most recent SMI or TMI data available.

e. Complete the CCDF income eligibility table.

1. Column (a) lists the current GMI for each family size. Column (b) lists 85 percent of the current GMI for each family size (by law, this is the maximum allowable income for CCDF eligibility, unless the Tribal Lead Agency opts to use categorical eligibility as described in section 5.1 and 98.81(b)(1)(i) of the CCDF regulations).

2. Tribal Lead Agencies have the option of setting income eligibility limits below 85 percent of the current GMI. Has the Tribal Lead Agency chosen to set income eligibility limits below 85 percent of the current GMI?

X No. Do not complete columns c-f.

Yes, complete columns (c) and (d) to show the Tribal Lead Agency's maximum income eligibility level for each family size at the time a family applies for CCDF services.

If the Tribal Lead Agency sets income eligibility limits below 85 percent of the current GMI, it is subject to the graduated phase-out requirement described below. Tribal Lead Agencies that set their initial income eligibility levels at 85 percent of the current GMI are not subject to the graduated phase-out requirement (98.21(b)).

3. Tribal Lead Agencies that establish initial family income eligibility below 85 percent of GMI must provide graduated phase-out by implementing two-tiered eligibility thresholds, with the second tier of eligibility (used at the time of eligibility redetermination) set at 85 percent of SMI for a family of the same size, or an amount lower than 85 percent of SMI, but above the Tribal Lead Agency's initial eligibility threshold. If the Tribal Lead Agency uses an amount lower than 85 percent of GMI, it must take into account the typical household budget for a low-income family, and provide justification that the eligibility threshold (1) is sufficient to accommodate increases in family income that promote and support family economic stability; and (2) reasonably allows a family to continue accessing child care services without unnecessary



disruption (98.21(b)). Complete columns (e) and (f) to list the Tribal Lead Agency’s graduated phase-out or maximum “exit” income levels; the income limit in column (e) cannot exceed the amount shown in column (b)

Table 5.1.6 (e): Tribal CCDF Income Eligibility Levels						
	(a)	(b)	(c)	(d)	(e)	(f)
Family Size	100% of Grantee	85% of GMI	(IF APPLICABLE)		(IF APPLICABLE)	
	Median Income (GMI)		Maximum Income Level if lower than 85% Current GMI		Maximum Phase-Out/Maximum “Exit” Income Level (cannot exceed 85% GMI)	
	\$/month	\$/month [Multiply (a) by 0.85]	\$/month	% of GMI [Divide (c) by (a), multiply by 100]	\$/month	% of GMI [Divide (e) by (a), multiply by 100]
1*						
2						
3						
4						
5						
6						
7						
8						

***Note:** On a case-by-case basis, Tribal Lead Agencies may consider a child in foster care to be a “family of one” for purposes of determining CCDF income eligibility.

f. Tribal Lead Agencies are required to ensure that children receiving CCDF 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, interview process, or through another method as determined by the Tribal Lead Agency.

Describe how the family member certifies that family assets do not exceed \$1,000,000:

****Skip Section 5.2 and move to section 5.3 unless using categorical eligibility**



5.2 Categorical Eligibility

5.2.1 How does the Tribal Lead Agency ensure that provision for services goes to those with the highest need? Check boxes and describe below.

- Protective Services. Describe:
- Children Experiencing Homelessness. Describe:
- X** Children with Special Needs. Describe: **Priority will be dermined during the intake and eligibility process. Based on availability of funding and the required documentation for verification of the special needs, the prioity categories will receive services on a first come, first served bases, with children with special needs given first peiority. If a waiting list is established due ot lack of funding, children with special needs will be placed on top of waiting list.**
- X** Other. Describe: Teenage parents

5.3 Application and Eligibility Determination/Redetermination Process

5.3.1 Tribal Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for Tribal CCDF assistance (658E(c)(2)(E)(i)(1)).

a. How are parents informed of the availability of child care assistance under Tribal CCDF?

Check all that apply.

- | | | |
|---|----------------------|--|
| <input type="checkbox"/> X Tribal Lead Agency | Other tribal offices | <input type="checkbox"/> |
| <input type="checkbox"/> X Child care providers | Other governmental | <input type="checkbox"/> offices |
| <input type="checkbox"/> X Child care resource and referral agencies | | <input type="checkbox"/> Community outreach events |
| <input type="checkbox"/> X Public and/or tribal schools | Radio and/or | <input type="checkbox"/> television |
| <input type="checkbox"/> X Early Head Start/Head Start | Social media | <input type="checkbox"/> programs |
| <input type="checkbox"/> Health Clinics | website(s): | <input type="checkbox"/> Internet. Provide |

X TANF offices Other. Describe:

5.3.2 How can parents apply for child care services? Check all that apply.

- X** In-person interview or orientation
- Phone
- X** Mail/fax
- At the child care provider's site
-

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X Electronically via online application or email (provide website):

www.whiteearth.com

X Other. Describe: **Information booths, WIC, employer or student orientations**

5.3.3 How does the Tribal Lead Agency verify child and family eligibility. Check the information that the Tribal Lead Agency uses to verify and describe, at a minimum, what information is required and how often? Check all that apply.

Internal review

Consolidated Tribal intake

X Interview after application and supporting documents are received

Other. Describe:

5.3.4 Which strategies, if any, will the Tribal Lead Agency use to ensure the timeliness of eligibility determinations upon receipt of applications? Check all that apply.

- X** Time limit for making eligibility determinations. Describe length of time: **2 weeks from the time the application is complete (once parent returns all required information and enrollments, immunizations and employment/income verification are returned).**
- the time the application is complete (once parent returns all required information and enrollments, immunizations and employment/income verification are returned).**
- enrollments, immunizations and employment/income verification are returned).**

Track and monitor the eligibility determination process

Other. Describe:



None

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 eligibility criteria, in age, including turning 13 years old during the 12-month eligibility period; and in residency within a tribal service area (658E(c)(2)(N)(i) and (ii)); 45 C.F.R § 98.21(a)(1)).

Tribal Lead Agencies must provide a minimum 12-month eligibility and redetermination period as long as the family's income does not exceed the federal threshold of 85 percent of the grantee median income, even if the family experiences temporary changes in participation in work, training, or educational activities (658E(c)(2)(N)(i) and (ii)), such as interruption in work for a seasonal worker; student holidays or breaks for a parent participating in a training or educational program; any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program; or any other cessation of work or attendance at a training or educational program that does not exceed three months or a longer period of time established by the Tribal Lead Agency.

a. Describe the Tribal Lead Agency's policies and procedures in implementing the minimum 12-month eligibility and redetermination requirements:

b. Does the Tribal Lead Agency have a policy or procedure regarding "temporary change in activity?"

Yes. The policy is:

Yes. The minimum length of time for 'temporary changes in activity is':

5.3.6 Option to discontinue assistance during the 12-month eligibility period.

A Tribal Lead Agency has the option to discontinue assistance during the 12-month eligibility period due to a parent's non-temporary loss of work or cessation of attendance at a job training or educational program; however, it must provide at least three months of continued assistance at the same level after such loss or cessation. At the end of the minimum three-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 SMI, assistance cannot be terminated, and the child must continue receiving assistance until the next scheduled redetermination or, at the Tribal Lead Agency option, for an additional minimum 12-month eligibility period (98.21 (a)).

NOTE: This does not apply to Tribal Lead Agencies that implement categorical eligibility and use that flexibility to exclude reason for care from its eligibility criteria.

a. Does the Tribal Lead Agency choose to discontinue assistance during the 12-month eligibility



period due to a parent's non-temporary loss or cessation of eligible activity, and offer a minimum three-month period to allow parents to engage in a job search and to resume participation in an eligible activity?

- Yes. Describe the Lead Agency's policies and procedures for discontinuing assistance due to a parent's non-temporary change:
- X** No.

b. Does the Tribal Lead Agency extend job search period beyond the three months minimum requirement? If so, for how long? **No**

c. The Tribal Lead Agency may discontinue assistance prior to the next 12-month redetermination in the following limited circumstances. Check all that apply.

X Excessive unexplained absences (after attempts to contact family, including the prior notification of a possible discontinuation of assistance.).

X A change in residency outside of the Tribal service area.

X Substantiated fraud or intentional program violations that invalidate prior determinations of eligibility. Describe the violations that leads to discontinuing assistance:

5.3.7 Change reporting during the 12-month eligibility period

Families are required to report to the Tribal Lead Agency at any time during the 12-month eligibility period if the family's income exceeds 85 percent of the GMI, taking into account irregular fluctuations in income (98.21(e)(1)). Does the Tribal Lead Agency require families to report other changes? Check all that apply.

- No
- X** Yes. Describe: **Change in family size, address or employment status.**

Any additional reporting requirements during the 12-month eligibility period must be limited to items that impact a family's eligibility (e.g., income changes over 85 percent of SMI or 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.

Tribal Lead Agencies are required to have procedures and policies in place to ensure that parents (especially parents in families receiving assistance under the TANF program) are not required to unduly disrupt their employment, education, or job training activities to comply with the Tribal Lead Agency's or designated local entity's requirements for the redetermination of eligibility for assistance (658E(c)(2)(N)(ii); 98.21(d)).



a. How does the Tribal Lead Agency allow for families to report changes to ensure that reporting requirements are not burdensome and to avoid an impact on continued eligibility between redeterminations? Check all that apply.

- X** Mail
- X** Email
- Online forms
- X** Fax
- X** In-person
- Extended submission hours

Other. Describe:

5.3.8 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)).

The TANF agency, not the Tribal CCDF Tribal Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record. This question is for informational purposes.

The Tribal Lead Agency may choose to coordinate with either the Tribal TANF agency or agencies within the service area, the State TANF agency, or both. The definitions provided should be gathered from the TANF agency that is most relevant and works more closely with the Tribal Lead Agency.

a. Identify the TANF agency that established these criteria or definitions:

State TANF Agency: **MN Department of Human Services**

Tribal TANF Agency: **White Earth Financial Services**

b. Provide the following criteria or definitions established by the TANF Agency:

1. "Appropriate child care": **Appropriate child care means 1: the provider of care is a licensed or legal non-licensed provider according to state standards, 2: the provider of care is able to meet a demonstrated need for language-specific care, and 3: that the care is appropriate to the children's age and special needs. Special needs means a child who has a hearing impairment, visual disability, speech or language impairment, physical handicap, other health impairment, mental handicap, emotional behavioral**



disorders, specific learning disability, autism, traumatic brain injury, multiple disabilities, or deaf-blind disability, and needs special instruction and services as determined by MDE. Counties also should accommodate demonstrated needs for culturally specific services as resources allow.

2. “Reasonable distance”: Reasonable distance means that the total commuting time to the children care provider and to work does not exceed two hours round trip.
3. “Unsuitability of informal child care”: Unsuitability of informal care means that the provider does not meet standards regarding health and safety of the child that would be applied to legal, non-licensed providers.
4. “Affordable child care arrangements”: Affordable child care arrangements means the provider does not charge in excess of the maximum amount the county is allowed to pay, as established in a rate schedule set each year by DHS.

c. How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements? Briefly describe the process:

In writing

Verbally

X Other. Describe: TANF/MFIP clients receive this information through their TANF/MFIP orientations and intake process with county/tribal TANF/MFIP agencies.

5.3.9 Certify by describing the Tribal Lead Agency’s procedures for ensuring that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds (658E(c)(2)(B); 98.16(t)):

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” (658E(c)(3)(B); 98.46(a)). The prioritization of CCDF assistance services is not limited to eligibility determination (i.e., the establishment of a waiting list or the ranking of eligible families in priority order to be served). The definition of “children with special needs” may include the following considerations:

- Children with physical or mental disabilities
- Children who are considered part of “vulnerable populations” such as:
 - Families with very low incomes
 - Children experiencing homelessness
 - Children who are



receiving or at risk of receiving protective services ○ Additional priority

categories as established by the Tribal Lead Agency

CCDF defines “child experiencing homelessness” as a child who is homeless, as defined in Section 725 of Subtitle VII-B of the McKinney-Vento Act (42 U.S.C. 11434a; 98.2).

5.4.1 Describe how the Tribal Lead Agency will prioritize child care services for children with special needs.

Tribal Lead Agencies have flexibility in how they define “children with special needs.” Tribal Lead Agencies are not limited in defining “children with special needs” to only those children with physical or mental disabilities. For example, Tribal Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children in their definition of “children with special needs.” Tribal Lead Agencies must establish a grace period that allows homeless children 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 (658E(c)(2)(I)(i)(I); 98.41(a)(1)(i)(C)).

- a. Define what the Tribal Lead Agency considers to be “children with special needs.” **Eligible determination for a child with special needs will be based on information received and verified by the Lead Agency through medical documentation.**
- b. Describe how the Tribal Lead Agency will give priority for child care services to children with special needs: **Priority will be determined during the intake and eligibility process. Based on availability of funding and the required documentation for verification of the special needs, the priority categories will receive services on a first come, first served basis, with children with special needs given priority. If a waiting list is established due to lack of funding, children with special needs will be placed at the top of the waiting list.**

Federal requirements allow other vulnerable children identified by the Tribal Lead Agency not formally in child protection to be included in the Tribal Lead Agency’s definition of protective services for CCDF purposes. 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. Examples of prioritization types might be children attending Head Start, children of very low income, or families receiving TANF.

- c. Does the Tribal Lead Agency have additional priority rules or categories?

No



X Yes. Define the additional priority rules/categories and describe how priority is given:
The White Earth Child Care/Early Childhood program will also prioritize child care services for children of teenage parents and families who meet the definition of homeless will be given priority and special consideration with application process on a case by case basis.

Describe how priority is applied to each category: **Teenage parents are not required to provide income verification (only verification of school enrollment or work schedule and attendance). The co-payment is waived for the parent. Families who meet the definition of homeless will also be placed on top of the waiting list.**

- d. Describe how services are prioritized, if applicable, for families receiving TANF program funds, those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF (98.16(i)(4)):

5.4.2 Services for Homeless Children and Families

As defined in Section 725 of Subtitle VII-B of the McKinney-Vento Act homeless children and families are those who lack a fixed, regular, and adequate nighttime residence, and include children who are:

- Sharing the housing of others due to a housing, economic hardship, or similar reason
- Are living in hotels, motels, trailer parks, or campgrounds due to the lack of alternative adequate accommodations
- Are living in emergency or transitional shelters
- Are abandoned in hospitals
- Have a primary nighttime residence that is public or not designed for human beings
- Are living in cars, parks, public spaces, abandoned buildings, substandard housing, bus or train stations, or similar settings
- Migrant children

Tribal Lead Agencies are required to expend CCDF funds to:

- a. Permit the enrollment (after an initial eligibility determination) of children experiencing homelessness while required documentation is obtained allowing a grace period
- b. Provide training and technical assistance to child care providers and the appropriate Tribal Lead Agency (or designated entity) staff in identifying and serving homeless children and families
- c. Conduct specific outreach to homeless families (658E(c)(3)(B)(i); 98.51).



1. Describe the Tribal Lead Agency's procedures to improve access to child care for children and families experiencing homelessness. Procedures might include adding new providers near homeless shelters, etc.:
2. Describe how services are prioritized for children experiencing homelessness, as defined by the CCDF:
3. Describe procedures to provide a grace period to comply with immunization and other health and safety requirements, including how the length of the grace period was established in consultation with Tribal health agencies for children experiencing homelessness and children in foster care:
4. Describe the procedures to conduct outreach for children experiencing homelessness (as defined by the Tribal Lead Agency) and their families:

5.5 Family Contribution to Payments

Tribal Lead Agencies that have an eligibility criteria based on family income must establish and periodically revise a sliding-fee scale that varies based on income and the size of the family to determine each family's contribution (i.e., co-payment) that is not a barrier to families receiving CCDF funds (658E(c)(5)).

5.5.1 Family Contribution to Payment

In addition to income and size of the family, the Tribal Lead Agency may use other factors when determining family contributions/co-payments. Tribal Lead Agencies, however, may not use cost of care or amount of subsidy payment in determining copayments (98.45(k)(2)).

- a. Attach a copy of the sliding fee scale (Enter Attachment #: __)
- b. What is the effective date of the sliding-fee scale(s)? 10/1/2019
- c. Will the attached sliding fee scale be used in all parts of the service area?
 Yes.
 No. Attach other sliding fee scale(s) Attachment(s) #__. Effective date:
- d. How will the family's contribution be calculated, and to whom will it be applied? Check all that apply.
 The fee is a dollar amount and:



- The fee is per child, with the same fee for each child.
- The fee is per child and is discounted for two or more children.
- The fee is per child up to a maximum per family.
- No additional fee is charged after certain number of children.
- X** The fee is per family.
- The contribution schedule varies because it is set locally/regionally. Describe:
- Other. Describe:
-
- X** The fee is a percent of income and:
 - The fee is per child, with the same percentage applied for each child.
 - The fee is per child, and a discounted percentage is applied for two or more children.
 - The fee is per child up to a maximum per family.
 - No additional percentage is charged after certain number of children.
-
- X** The fee is per family.
- The contribution schedule varies because it is set locally/regionally (as indicated in 5.5.1(c)). Describe:

Other. Describe:

e. Does the Tribal Lead Agency use other factors in addition to income and family size to determine each family's co-payment (658E(c)(3)(B))? Reminder: Tribal Lead Agencies may NOT use cost of care or amount of subsidy payment in determining copayments (98.45(k)(2)).

- Yes, check and describe those additional factors below:
 - Number of hours the child is in care. Describe:
 - Lower co-payments for a higher quality of care, as defined by the Tribal Lead Agency. Describe:
 - Other. Describe:
- No

f. How will the Tribal Lead Agency ensure that the family contribution/co-payment is affordable and is not a barrier to families receiving CCDF funds? Check all that apply.



- Limit the maximum co-payment per family. Describe:
 - Limit the combined amount of co-payment for all children to a percentage of family income. List the percentage of the co-payment limit and describe:
 - Minimize the abrupt termination of assistance before a family can afford the full cost of care (“the cliff effect”) as part of the graduated phase-out of assistance. Describe:
 - Other. Describe:
- g. The Tribal Lead Agency may waive contributions/co-payments from families whose incomes are at or below the poverty level for a family of the same size or for families who are receiving or needing to receive protective services, as determined for purposes of CCDF eligibility, or who meet other criteria established by the Tribal Lead Agency (98.45(k)(4)).

1. Does the Tribal Lead Agency waive family contributions/co-payments? Check all that apply.

- Yes, the Tribal Lead Agency waives family contributions/co-payments for families with an income at or below the poverty level for families of the same size.
- Yes, the Tribal Lead Agency waives family contributions/co-payments for families who are receiving or needing to receive protective services, as determined by the Tribal Lead Agency for purposes of CCDF eligibility.
- Yes, the Tribal Lead Agency waives family contributions/co-payments for other criteria established by the Tribal Lead Agency. Describe the criteria:
- No, the Tribal Lead Agency does not waive family contributions/co-payments.

The Tribal Lead Agency may waive family contributions/co-payments for other criteria established by the Tribal Lead Agency (e.g., homeless families, migrant workers, and victims of human trafficking, families receiving TANF, etc.).

h. Does the Tribal Lead Agency allow providers to charge families additional amounts above the required co-payment in instances where the provider’s price exceeds the subsidy payment (98.45(b)(5))?

- X** Yes. If yes: Describe the policy and/or procedure:
- No

6 Ensure Equal Access to High Quality Child Care for Low-Income Children

6.1 Description of Direct Child Care Services

CCDF direct services may be provided through a subsidy program where the grantee offers certificates for parents to use in any approved child care setting, through a Tribal CCDF-Operated



Center, or through use of grants or contracts, for child care slots offered through an agreement between the grantee and a provider who offers child care services. The Final Rule established three categories of care:

- In-home child care: care provided in the child’s home
- Family child care: care provided by one caregiver in a private residence other than the child’s residence
- Center-based child care: group care provided in a facility outside of the child’s or provider’s home

Large Allocation Tribal Lead Agencies are required to operate a certificate program that permits parents to choose care from all three categories of care.

6.1.1 Child Care Services Available through Certificates (658E(c)(2)(A); 658E(c)(3)(A)-(B); 658P(6)-(7); 98.16(i)(1); 98.30; 98.50)

a. In addition to offering certificates, how does the Tribal Lead Agency provide other direct child care services? Choose all that apply

- Grants or Contracts with approved child care providers
- X** Tribal-operated center.
- Other. Describe:

b. The Tribal Lead Agency allows parents to choose from the following categories of care. Choose all the apply (large allocation Tribal Lead Agencies must offer all three categories of care below):

- X** Center-based child care
- X** Family child care home
- X** In-home child care

c. Describe the child care payment process for providers:

d. If the Tribal Lead Agency allows for in-home care (i.e., care provided in the child’s own home) as described in 98.16(i)(2), does the Tribal Lead Agency limit the use of in-home care in any way?

- X** Yes. What limits does the Tribal Lead Agency set? Check all that apply.
 - Restricted based on minimum number of children in the care of the provider due to the Fair Labor Standards Act (minimum wage) requirement. Describe:



- X** Restricted based on provider meeting a minimum age requirement (a relative provider must be at least 18 years of age based on the definition of eligible child care provider (98.2)). Describe: **Provider must be 18 years of age.**
- X** Restricted based on hours of care (a certain number of hours, non-traditional work hours, etc.). Describe: **Non-traditional work hours (evenings, overnights, and weekends)**
- X** Restricted to care by relatives only. Describe: **Grandpaernts, aunts, uncles, siblints (who do not live in the home) or 1st or 2nd cousins.**
- X** Restricted to care for children with special needs or medical conditions. Describe: **If special needs restricts child to home (tradiation or non-tradiational work hours and by relatives).**
- No** Restricted to in-home providers that meet additional health and safety requirements beyond those required by CCDF. Describe:
Other. Describe:

6.1.2 Does the Tribal Lead Agency use grants or contracts for child care slots to increase the supply and/or improve the quality of child care programs (658E(c)(2)(M))?

- X** Yes. Grant or contract-funded slots are used to increase the supply and/or improve the quality of the following types of child care programs through:
 - X** Providers offering native language education or a culturally-based curriculum
 - X** Providers serving specific populations (such as children with disabilities, infants and toddlers, school-age children, children experiencing homelessness, and children in isolated geographic areas
 - X** Providers serving children needing care during non-traditional hours
 - X** Providers meeting or exceeding higher quality standards, such as programs with higher Quality Rating and Improvement System (QRIS) ratings or nationally accredited programs
 - X** Providers offering bonuses, higher pay, or other financial incentives to teaching staff for reaching higher levels of education and/or qualifications



No. Other. Describe:

ONLY Large Allocation Tribal Lead Agencies must answer questions 6.1.3 and 6.1.4 below.

6.1.3 How are parents informed of the option to choose from the full range of child care provider categories – centers, family child care homes, in-home providers, and other provider types as applicable (658E(c)(2)(A)(i); 658P (2); 658Q)? Check all that apply.

- Certificate that also include information about the choice of providers, including high quality providers
- Consumer education materials on choosing child care
- Verbal communication at the time of application
- Community outreach, workshops, or other in-person activities
- Other. Describe:

6.1.4 If the Tribal Lead Agency offers both certificates and grants/contracts for slots, how are parents advised of the option of receiving a certificate or a slot (658E(c)(2)(A)(i); 658P(2))? Describe:

6.2 Assessing Child Care Market Rates

The regulations at 98.83(d)(1)(iv) exempt all Tribal Lead Agencies from the requirement to use a market rate survey or alternative methodology to set provider payment rates because many Tribal service areas are in rural, isolated areas, making such a requirement difficult. While Tribal Lead Agencies are exempt from this requirement, they must set sufficient base payment rates to provide equal access to the full range of child care services and set rates that cover the costs of providing higher quality care.

At a minimum, Tribal Lead Agencies that receive large allocations must operate certificate programs and are required to show how payment rates are adequate, including a description of how payment rates are established and support the health, safety, quality, staffing requirements, along with the cost of providing higher quality care, and, where applicable, support cultural and linguistic appropriateness. Tribal Lead Agencies, at their option, may still conduct a market rate survey or an alternative methodology approach or use the State's methodologies to set payment rates. If using an alternative methodology, a Tribal Lead Agency may use child care resource and referral data to assess child care costs in its service area.

6.2.1 How did the Tribal Lead Agency assess the cost of care? Please indicate if any of the following sources of information were used in assessing the cost of care or price of care within the service area. Choose all that apply:

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- Alternative Methodology. Date completed:
- State Market Rate Survey. State(s): ___ Date(s) completed:
- State Alternative Methodology. State(s): ___ Date(s) completed:
- Child Care Resource and Referral Data. Describe:
- Tribal Market Rate Survey: Date completed:
- Other. Describe:

6.2.2 Describe how the Tribal Lead Agency establishes payment rates:

- a. Describe how the Tribal Lead Agency's payment rates reflect variations by geographic location, category of provider, and age of children:
- b. Describe how the Tribal Lead Agency's base payment rates enable providers to meet the health, safety, quality, and staffing requirements under CCDF:
- c. 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):

6.3 Setting Payment Rates for Child Care Services

Tribal Lead Agencies are required to establish payment rates for child care services that ensure eligible families have equal access to child care services comparable to those services provided to families not eligible to receive CCDF services (658E(c)(4); 98.16(r); 98.45(a); 98.45(b)(1)-(2); (98.45(b)(7)-(8)).

The attached payment rates should reflect the variety of care offered in your program (for example, different rates based on the child's age, the category of care, hours of care offered, etc.). 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.

The Tribal Lead Agency's payment rates are provided in Attachment #: ___. The effective date of those payment rates is: ___(Include tiered/differential rates on the payment rate attachment(s).)

- a. Will the attached payment rates be used in all parts of the Tribal service area?

Yes

No. Describe how the Tribal Lead Agency differentiates payment rates within its service area (ensure all rates are attached in question 6.3).

- 6.3.1 For Programs that Offer Certificates: Tribal Lead Agencies can choose to establish tiered rates, differential rates, or add-ons to their base rates. This allows them to increase payments for targeted needs (i.e., a higher rate for special needs children as an incentive and to cover additional costs).



Tribal Lead Agencies must set payment rates that ensure eligible families have the same access to care as families not eligible for subsidies. They may set the rates based on what providers charge for care, but also must take into account the cost of care to providers. Providers usually set their prices based on a number of factors impacted by the cost of providing care, such as: staff salaries and benefits, training and professional development, curricula and supplies, group size and ratios, enrollment levels, facility size, and other costs. Taking those factors into account means that Tribal Lead Agencies may set different rates for different kinds of care; for example, payment rates for infants may be higher than rates for school-age care because it costs providers more to offer infant care given more restricted staff to child ratios.

In addition, Tribal Lead Agencies can choose to set tiered payment rates or create rate add-ons (sometimes called “differential rates”) to their regular rates to increase payments for targeted needs. For example, a Tribal Lead Agency could encourage more care during non-traditional hours by paying providers who work evenings a 15 percent add-on over the regular payment rate. An example of tiered rates is paying family child care providers who earn a CDA 5 percent more than the regular rate and paying those that earn accreditation 10 percent more. Tiered rates and add-ons are often used to encourage and support care for specific populations (such as children with special needs, infants and toddlers, school-age children, children in rural areas, or children experiencing homelessness) and to encourage providers to increase or sustain their program quality.

6.3.2 Does the Tribal Lead Agency provide any type of tiered payment or differential (add-on) rates 658E(c)(4)(C)(ii)?

Yes. Check and describe the types of tiered reimbursement or differential rates, the Tribal Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, at a minimum, indicate the process and basis used for determining the tiered rates, including how the rates were established, and their amounts.

Differential rate for non-traditional hours. Describe:

Differential rate for children with special needs, as defined by the Tribal Lead Agency. Describe:

Differential rate for infants and toddlers. Describe:

Differential rate for school-age programs. Describe:

Differential rate for higher quality, as defined by the state. Describe:

No Other differential rates or tiered rates. Describe:

6.3.3 How does the Tribal Lead Agency ensure that payment rates are sufficient to ensure equal access? Equal access would offer children receiving CCDF subsidies access to the same services (type of



care, quality of care) as children not receiving CCDF. Check all that apply and provide a description of the rationale that the Tribal Lead Agency used to determine equal access (658E (c)(4)(A)).

- Feedback from parents, including parent surveys or parent complaints. Describe:
- Feedback from providers, including provider surveys or provider complaints. Describe:
- Using tiered rates/differential rates (as described in 6.3.2) to increase access for high needs populations. Describe:
- Payment rates are set at the 75th percentile or higher of the most recent state or tribal market rate survey. Describe:
- Other. Describe:

6.4 Payment Practices and Timeliness of Payments to Providers

The Tribal Lead Agency must establish payment practices that apply to all CCDF child care providers in the Tribe's CCDF service area that include ensuring the timeliness of payments by either (1) paying prospectively prior to the delivery of services or (2) paying within no more than 21 calendar days of the receipt of a complete invoice for services. To the extent practicable, the Tribal Lead Agency must also support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by (1) paying based on a child's enrollment rather than attendance, (2) providing full payment if a child attends at least 85 percent of the authorized time, (3) providing full payment if a child is absent for five or fewer days in a month, or (4) using an alternative approach for which the Tribal Lead Agency provides a justification in its Plan (658E(c)(2)(S)(ii); 98.45(l)(2)).

Tribal Lead Agencies are also required to use CCDF payment practices that reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF-funded assistance. Unless The Tribal Lead Agency is able to demonstrate that the following policies are not generally accepted in its service area or among particular categories or types of providers, Tribal Lead Agencies must (1) pay providers based on established part-time or full-time rates rather than paying for hours of service or smaller increments of time and (2) pay for reasonable, mandatory registration fees that the provider charges to private-paying parents (658E(c)(2)(S); 98.45(l)(3)).

In addition, there are other generally accepted payment practices that are required. Tribal Lead Agencies are required to ensure that child care providers receive payment for any services in accordance with a payment agreement or an authorization for services, ensure that child care providers receive prompt notice of changes to a family's eligibility status that could impact payment, and establish timely appeal and resolution processes for any payment inaccuracies and disputes (98.45(l)(4)-(6); 658E(c)(2)(S)(ii)).

- 6.4.1 The Tribal Lead Agency ensures the timeliness of payments by either option below, check which option you are implementing:

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- Paying providers prior to the delivery of child care services. Describe the policy or procedure:
- Paying providers within no more than 21 calendar days of the time a complete invoice for services has been received from the provider. Describe the policy or procedure:

6.4.2 To the extent practicable, the Tribal Lead Agency must support the fixed costs of providing child care services by delinking provider payments from a child’s occasional absences. Tribal Lead Agencies that do not choose one of the three options listed below have the flexibility to use an alternative approach but must provide justification that the alternative approach is as thorough as the three options provided. (For example, a Tribal Lead Agency may choose to allow for additional excused and/or unexcused absences above the level of 85 percent or allow for more than five absences and still provide for the full payment. They also may choose an alternative time period for measuring absences such as using multiple months instead of just one month).

The Tribal Lead Agency will support the fixed costs of providing child care services by delinking provider payments from a child’s occasional absences by (Choose at least one of the following):

- Paying providers based on a child’s enrollment rather than paying based on attendance. Describe the policy or procedure:
- Providing full payment to providers if the child attends at least 85% of the authorized time. Describe the policy or procedure:
- Providing full payment to providers if the child is absent for five or fewer days in a month. Describe the policy or procedure:
- Use of an alternative approach for which the Tribal Lead Agency provides justification in its plan. Describe the alternative approach and justification that this approach is not weaker than the three options listed above:

6.4.3 The Tribal Lead Agency’s payment practices reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF subsidies, which must include the following two practices unless the Tribal Lead Agency provides evidence that such practices are not generally accepted in its service area (658E(c)(2)(S); 98.45(l)(3)).

- Paying on a part-time or full-time basis (rather than paying hourly or for smaller increments of time). Describe the policy or procedure:
- Paying for reasonable mandatory registration fees that the provider charges to private paying parents (this requirement does not include other fees such as activity or transportation fees). Describe the policy or procedure:

6.4.4 The Tribal Lead Agency ensures that providers are paid in accordance with a written payment agreement or an authorization for services that include, at a minimum, information regarding



provider payment policies, including rates, schedules, any fees charged to the providers, and dispute-resolution process. Describe the policy or procedure:

6.4.5 The Tribal Lead Agency ensures prompt notice to providers regarding any changes to the family's eligibility status that could impact payments, and such a notice is sent no later than the day that the Tribal Lead Agency becomes aware that such a change will occur. Describe the policy or procedure:

6.4.6 The Tribal Lead Agency ensures it has a timely appeal and resolution process for payment inaccuracies and disputes. Describe the policy or procedure:



7 Promote Family Engagement through Outreach and Consumer Education

Tribal Lead Agencies are required to support the role of parents as child care consumers who need information to make informed choices regarding the services that best suit their needs. A key purpose of the CCDBG Act is to “promote involvement by parents and family members in the development of their children in child care settings” (658A(b)). Tribal Lead Agencies have the opportunity to consider how information can be provided to parents through the child care assistance system, partner agencies, and other methods of their choosing. Tribal Lead Agencies are exempt from the requirement to maintain a consumer education website but have the option to do so.

The target audience for the consumer education information includes three groups: parents receiving CCDF assistance, the general public, and when appropriate, child care providers. In this section, Tribal Lead Agencies will address how information is made available to families to assist them in accessing high-quality child care and how information is shared on other financial assistance programs or supports for which a family might be eligible. In addition, Tribal Lead Agencies will certify that information on developmental screenings is provided and will describe how research and best practices concerning children’s development, including their socialemotional development, is shared.

In this section, Tribal Lead Agencies will delineate the consumer and provider education information related to child care, as well as other services, including developmental screenings, which is made available to parents, providers, and the general public and the ways that it is made available. This section also covers the parental complaint process and the consumer education website that may have been developed by the Tribal Lead Agency. Finally, this section addresses the consumer statement that is provided to parents supported with CCDF funds.

7.1 Parental Complaint Process

The Tribal Lead Agency must certify that the Tribe maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request (658E(c)(2)(C); 98.15(b)(3)).

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

- The process for substantiating complaints
- The manner in which the Tribal Lead Agency maintains a record of substantiated parental complaints
- Ways that the Tribal Lead Agency makes information on such parental complaints available to the public on request (98.16(j); 98.32(b)(c)(d))

7.1.1 Describe the Tribal Lead Agency’s reporting process through which parents can submit complaints about child care providers, including a link if it is a Web-based process:



- 7.1.2 Describe the Tribal Lead Agency's process and timeline for screening, substantiating and responding to complaints regarding CCDF providers, including whether the process includes monitoring: ___
- 7.1.3 Certify by describing how the Tribal Lead Agency maintains a record of substantiated parental complaints:
- 7.1.4 Certify by describing how the Tribal Lead Agency makes information about substantiated parental complaints available to the public upon request:

7.2 Consumer Education for Parents, Providers, and the Public

Tribal Lead Agencies are required to provide information to parents, the general public, and when applicable, child care providers through a method of their choice, which is consumer-friendly and easily accessible (658E(c)(2)(E)(i)(III)). The available information must include provider-specific information, monitoring and inspection reports about the provider, and the quality of each provider (if such information is available about the provider) (658E(c)(2)(D); 98.33(a)). The information should also provide access to 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. To assist families with any additional questions, the information should provide contact information to local child care resource and referral organizations and any other agencies that can assist families in better understanding the information.

- a. Describe how the Tribal Lead Agency ensures that its information is consumer-friendly and easily accessible:
- b. Describe how the Tribal Lead Agency informs parents, providers, and the public on how it licenses child care providers, including the rationale for exempting certain providers from licensing requirements:
- c. Describe how the Tribal Lead Agency informs parents, providers, and the public on how it conducts monitoring and inspections of child care providers:
- d. Describe how the Tribal Lead Agency informs parents, providers, and the public on the policies and procedures related to criminal background checks for provider/staff members of child care providers and the offenses that prevent individuals from being employed by a child care provider or receiving CCDF funds:
- e. Describe how the Tribal Lead Agency lists all licensed providers and, at the discretion of the Tribal Lead Agency, all providers eligible to deliver CCDF services, identified as either licensed or license-exempt. Providers caring for children to whom they are related do not need to be included:

In addition to the licensed child care providers that are required to be included in your list, which additional providers are included in the Tribal Lead Agency's list? (please check all that apply):



- License-exempt center-based CCDF providers
- License-exempt family child care (FCC) CCDF providers
- License-exempt non-CCDF providers
- Relative CCDF child care providers
- Other. Describe:

f. Tribal Lead Agencies must also identify specific quality information about each child care provider for whom they have this information. The type of information provided is determined by the Tribal Lead Agency, and it should help families easily understand whether a provider offers services that meet Tribal Lead Agency-specific best practices and standards or a nationally recognized, research-based set of criteria. Describe how the Tribal Lead Agency will provide specific quality information and other consumer education materials, if available, for the individual providers:

g. How does the Tribal Lead Agency determine quality ratings or other quality information to include with provider-specific information?

- Quality rating and improvement system managed by Tribal Lead Agency
- Quality rating and improvement system managed by the State
- National accreditation
- Enhanced licensing system
- Meeting Head Start/Early Head Start Program Performance Standards.
- Meeting prekindergarten quality requirements
- School-age standards, where applicable
- Other. Describe:

h. For what types of providers are quality ratings or other indicators of quality available?

- Licensed CCDF providers. Describe the quality information:
- Licensed non-CCDF providers. Describe the quality information:
- License-exempt center-based CCDF providers. Describe the quality information:
- License-exempt FCC CCDF providers. Describe the quality information:
- License-exempt non-CCDF providers. Describe the quality information:
- Relative child care providers. Describe the quality information:
- Other. Describe:



7.2.1 Tribal Lead Agencies are required to make monitoring and inspection reports available about each licensed provider and about each non-relative provider eligible to provide CCDF services. These reports must include 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. The reports must be in plain language (i.e., communication your audience can understand the first time they read it), as defined by the Tribal Lead Agency, and be timely to ensure that the results of the reports are available and easily understood by parents when they are deciding on a child care provider. Tribal Lead Agencies must provide at least three years of reports (when available), beginning October 1, 2019 and going forward.

a. What is the Tribal Lead Agency’s definition of plain language?

1. Are monitoring and inspection reports in plain language?

Yes.

No. If no, describe how plain language summaries are used to meet the regulatory requirements and include a link to a sample summary:

2. Describe the process for receiving feedback from parents and the public about the readability of report:

a Check to certify what the monitoring and inspection reports and/or their plain language summaries include:

Date of inspection:

Health and safety violations, including violations that resulted in fatalities or serious injuries. Describe how these health and safety violations are prominently displayed:

Corrective action plans taken by the Tribal Lead Agency and/or child care provider.

Describe: ___

The process for correcting inaccuracies in reports:

The process for providers to appeal the findings in reports, including the time requirements, and timeframes for filing the appeal, for the investigation, and for removal of any violations determined on appeal to be unfounded:

How reports are made available in a timely manner. Specifically, provide the Tribal Lead Agency’s definition of “timely” and describe how it ensures that reports are made available within its timeframe:

Although Tribal Lead Agencies define “timely,” we recommend Tribal Lead Agencies update results as soon as possible and no later than 90 days after an inspection or corrective action is taken.



b. Describe the process for maintaining monitoring reports. Specifically, provide the minimum number of years reports are made available and the policy for removing reports (98.33(a)(4)(iv)):

1. Describe any additional providers which the Tribal Lead Agency chooses to include in reports. Licensed providers and CCDF providers must have monitoring and inspection reports made available.

License-exempt non-CCDF providers. Describe:

Relative child care providers, Describe:

Other. Describe:

7.2.2 Aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year must be made available. The data must be organized by category of care (e.g., center, FCC, etc.) and licensing status for all eligible CCDF provider categories in the Tribal Lead Agency's service area. The aggregate report should not list individual providerspecific information or names.

Certify by providing:

a. Describe how is the designated entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care (98.16 (ff)): ___

b. Describe how the Tribal Lead Agency obtains the aggregate date from the entity:

c. The definition of "substantiated child abuse" used by the Tribal Lead Agency for this requirement:

d. The definition of "serious injury" used by the Tribal Lead Agency for this requirement:

7.2.3 The consumer education information should include contact information for referrals to local child care resource and referral organizations. How does the Tribal Lead Agency provide referrals to local CCR&R agencies through the consumer education information? Describe: ___

7.2.4 The consumer education information should include how parents can contact the Tribal Lead Agency, or its designee, or other programs that can help the parent understand the information included. Describe:

7.3 Additional Consumer and Provider Education

Tribal Lead Agencies are required to certify that they will collect and disseminate information about the full diversity of child care services to promote parental choice to parents of eligible children, the general public, and where applicable, child care providers. The consumer education information can be provided through CCR&R organizations or through direct conversations with eligibility case workers and child care providers. Outreach and counseling can also be effectively provided via information sessions or intake processes for families (658E(c)(2)(E); 98.15(b)(4);



98.33(b)).

- 7.3.1 Describe how the Tribal Lead Agency shares information with eligible parents, the general public, and where applicable, child care providers about the availability of child care services provided through CCDF and other programs for which the family may be eligible, such as state or Tribal PreK, as well as the availability of financial assistance to obtain child care services. At a minimum, describe what is provided (e.g., such methods as written materials, and direct communications) and how information is tailored for these audiences:
- 7.3.2 Describe how the partnerships formed to make information about the availability of child care services available to families:
- 7.3.3 Describe how the Tribal Lead Agency provides the required information about the following programs and benefits to the parents of eligible children, the general public, and where applicable, providers. In the description include, at a minimum, what information is provided, how the information is provided, and how the information is tailored to a variety of audiences. Include any partners who assist in providing this information.
- Temporary Assistance for Needy Families (TANF) program:
 - Head Start and Early Head Start programs:
 - Low Income Home Energy Assistance Program (LIHEAP):
 - Supplemental Nutrition Assistance Programs (SNAP):
 - Women, Infants, and Children Program (WIC):
 - Child and Adult Care Food Program (CACFP):
 - Medicaid and Children’s Health Insurance Program (CHIP):
 - Programs carried out under IDEA Part B, Section 619 and Part C:
- 7.3.4 Describe how the Tribal Lead Agency makes information available to parents, providers, and the general public on research and best practices concerning children’s development, including physical health and development, particularly healthy eating and physical activity. Information about successful parent and family engagement should also be shared. At a minimum, include what and how information is provided, and how information is tailored to a variety of audiences. Include any partners who provide this information:
- 7.3.5 Describe how information is shared on the Tribal Lead Agency’s policies regarding social-emotional and behavioral issues and early childhood mental health. Include how the Tribal Lead Agency shares information on positive behavioral intervention and support models based on research and best practices for those from birth to school age. At a minimum, include what and how information is provided and tailored to a variety of audiences and include any partners in providing this information:



- 7.3.6 Describe the Tribal Lead Agency’s policies to prevent the suspension and expulsion of children from birth to age 5 in child care and other early childhood programs receiving CCDF funds (98.16(ee)), including how those policies are shared with families, providers, and the general public:

7.4 Procedures for Providing Information on Developmental Screenings

Tribal Lead Agencies are required to provide information and referrals on developmental screenings. This information should include resources and services that the Tribe can deploy, such as Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) services under Medicaid and carried out under title XIX of the Social Security Act and developmental screening services available through the Individuals with Disabilities Education Act (IDEA) Part B, Section 619 and Part C. Tribal Lead Agencies must also include a description of how a family or child care provider can use these resources and services to obtain developmental screenings for children who receive subsidies and who might be at risk of cognitive or other developmental delays, including social, emotional, physical, or linguistic delays (658E(c)(2)(E)(ii)). Tribal Lead Agencies are required to provide this information to eligible families during CCDF intake and to child care providers through training and education (98.33(c)).

- 7.4.1 Certify by describing:

- a. How the Tribal Lead Agency collects and disseminates information on existing resources and services available for conducting developmental screenings to CCDF parents, the general public, and where applicable, child care providers (98.15(a)(9))):
- b. The procedures for providing information on and referring families and child care providers to the EPSDT program under Medicaid and developmental screening services available under Part Band Part C of the IDEA: ___
- c. How the Tribal Lead Agency provides information on developmental screenings to parents receiving a subsidy as part of the intake process. Include the information provided, how it is provided, and any partners involved:
- d. How CCDF families 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:
- e. How child care providers receive this information through training and professional development:

7.5 Consumer Statement for Parents Receiving CCDF Funds

Tribal Lead Agencies must provide CCDF parents with a consumer statement in hard copy or electronically, if the Tribal Lead Agency has chosen to post information to a consumer education website, that contains specific information about the child care provider they select. This information should include:



- 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

It must also describe how CCDF subsidies are designed:

- To promote equal access
- How to submit a complaint through a hotline
- How to contact local resource and referral agencies or other community-based supports that assist parents in finding and enrolling in quality child care (98.33(d))

Please note that if the consumer statement is provided electronically, Tribal Lead Agencies should consider how to ensure that the statement is accessible to parents and that parents have a way to contact someone to address questions they have.

7.5.1 Certify by describing:

- a. How the Tribal Lead Agency provides parents receiving CCDF funds with a consumer statement:
- b. What is included in the statement, including when the consumer statement is provided to families:
- c. Provide a sample consumer statement or a description:

APPENDIX 1

TRIENNIAL CHILD COUNT DECLARATION

Effective:

Name of Tribe/Tribal Lead Agency:

CCDF Plan Effective Date: October X, 201X

Amended Effective Date: [Insert Date as Amended]



This certifies that the number of Indian children under age 13 (as defined in CCDF Plan) who reside on or near the reservation or service area (as defined in CCDF Plan) is: __ (number).

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.

This count shows the number of Indian children under age 13 as of __/__/__ (date).

Official Signature of Individual Authorized to Act for the Tribe

Date: __/__/__

Print Name

Print Title

APPENDIX 1-A

CCDF Plan Effective Date: October X, 201X

Amended Effective Date: [Insert Date as Amended]



TRIENNIAL CHILD COUNT DECLARATION (P.L. 102-477)

Effective:

Name of Tribe/Tribal Lead Agency:

This certifies that the number of Indian children under age 13 (as defined in CCDF Plan Section of the 102-477 Plan) who reside on or near the reservation or service area (as defined in CCDF section of the 102-477 Plan) is: ___ (number).

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.

This count shows the number of Indian children under age 13 as of ___/___/___ (date).

_____ Date: ___/___/___

Official Signature of Individual Authorized to Act for the Tribe

Print Name

Print Title

CCDF Plan Effective Date: October X, 201X

Amended Effective Date: [Insert Date as Amended]



REQUEST FOR REALLOTTED TRIBAL DISCRETIONARY FUNDS

The Tribe named above requests Discretionary Funds that may be available through the reallocation process.

Yes No

APPENDIX 2

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Tribal Lead Agency is designated by the Tribe (or Tribal consortium) to represent the Tribe (or Tribal organization). The Tribal Lead Agency agrees to follow the Federal laws and regulations that apply to the CCDF program and to follow this Plan, when approved, including the following assurances and certifications.

The Tribal Lead Agency assures that:

- (1) Upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations (658D(b); 658E(a); 98.15(a)(1)).
- (2) The parent(s) of each eligible child within the Tribe or Tribal service area who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service or to receive a child care certificate (658E(c)(2)(A)(i); 98.30(a); 98.15(a)(2)).
- (3) In cases in which the parent(s) elect(s) to enroll the child with a provider that has a grant or contract with the Tribal Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable (658E(c)(2)(A)(ii); 98.15(a)(3); 98.30(b)).
- (4) The child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract (658E(c)(2)(A)(iii); 98.15(a)(4); 98.30(c)(2)).

CCDF Plan Effective Date: October X, 201X

Amended Effective Date: [Insert Date as Amended]



- (5) The Tribe, or Tribal consortium, will coordinate, to the maximum extent feasible, with the Tribal Lead Agency(ies) in the State(s) in which the child care programs or activities will be carried out (98.12; 98.14(a)-(b); 98.81(b)(3)(i); 98.82).
- (6) Tribal Child Care and Development Fund (CCDF) programs and activities will be carried out for the benefit of Indian children on an Indian reservation (except for Programs located in Alaska, California, or Oklahoma) (658O(c); 98.81(b)(3)(ii); 98.83(b)).
- (7) With respect to State and local regulatory requirements (or Tribal regulatory requirements), health and safety requirements, payment rates, and registration requirements, State or local (or Tribal) rules, procedures or other requirements promulgated for the purpose of the CCDF will not significantly restrict parental choice from among categories of care or types of providers (658E(c)(2)(A); 98.15(a)(5); 98.30(f); 98.40(b)(2); 98.41(b); 98.45(h)).

The Tribal Lead Agency certifies that:

- (1) It has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund (CCDF) afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers (658E(c)(2)(B); 98.15(b)(2); 98.31).
- (2) It maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request (658E(c)(2)(C); 98.15(b)(3); 98.32).
- (3) It will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices (658E(c)(2)(E); 98.15(b)(4); 98.33).
- (4) There are—under Tribal, local, or State law—requirements in effect designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the CCDF (658E(c)(2)(I); 98.15(b)(7); 98.41).
- (5) Procedures are in effect to ensure that child care providers that offer services for which assistance is provided under the CCDF comply with all applicable health and safety requirements (658E(c)(4)(J); 98.15(b)(8); 98.41).



- (6) Payment rates under the CCDF for the provision of child care services will be sufficient to ensure equal access for eligible children to comparable child care services in the Tribe or Tribal service area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs (658E(c)(4)(A); 98.15(b)(11); 98.45(a)).

APPENDIX 3

LIST OF CERTIFICATIONS

CCDF Regulations 45 CFR §98.13(b)(3)-(6) require the following certifications.

1. [Assurance of compliance with Title VI of the Civil Rights Act of 1964](#)
2. [Certification regarding debarment](#)
3. [HHS certification regarding drug-free workplace requirements](#)
4. [Certification of Compliance with the Pro-Children Act of 1994](#)

These certifications were obtained in the previous approved Plan and need not be collected again if there has been no change in the Tribal Lead Agency. If there has been a change in the Tribal Lead Agency, these certifications must be completed and submitted with the Plan. New Tribal Lead Agencies must submit all required Certifications.



APPENDIX 4

AMENDMENTS LOG

Child Care and Development Fund Plan
For the period: 10/1/2019 – 9/30/2022

Tribal Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a “substantial” change in the Tribal Lead Agency’s approved CCDF Plan occurs. Please refer to the [ACF Program Instruction regarding CCDF Plan amendments \(CCDF-ACF-PI-2009-01\)](#) for specific details and timelines specific to the Plan amendment process.

Plan amendments must be submitted to ACF within 60 days of the effective date of the change. Under the regulation, the Plan amendment must be approved no later than the 90th day following the date on which the amendment is received by ACF unless the Tribal Lead Agency and ACF mutually agree in writing to extend the period. (§98.18 (b)).

ACF encourages Tribal Lead Agencies to contact the Child Care program staff in the appropriate ACF Regional Office to discuss any proposed amendment as early as possible.

Instructions:

- (1) Tribal Lead Agency completes the first 3 columns and sends a photocopy of this log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional contact. A copy of the log, showing the latest amendment pending in ACF, is retained in the Tribal Lead Agency’s Plan.
- (2) ACF completes column 4 and returns a photocopy of the log to the Tribal Lead Agency.
- (3) The Tribal Lead Agency replaces this page in the Plan with the copy of the log received from ACF showing the approval date.

Reminder: This process depends on repeated subsequent use of the same log page over the life of the Plan. At any time the log should reflect all amendments, both approved and pending in ACF. The



Tribal Lead Agency is advised to retain those “old” Plan pages that are superseded by amendments in a separate appendix to its Plan.



CCDF Plan Effective Date: October X, 201X

Amended Effective Date: [Insert Date as Amended]



WORKING DRAFT Plan for: DRAFT FOR PUBLIC COMMENTS (PRA-1)

CHILD CARE & DEVELOPMENT FUND - Plan Period: 10/1/2019 – 9/30/2022



CCDF Plan Effective Date: October X, 201X
Amended Effective Date: [Insert Date as Amended]