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Child Care and Development Fund (CCDF) Plan

for

State/Territory _____

FFY 2022 – 24

This Plan describes the Child Care and Development Fund program to be administered by the state or territory for the period from 10/1/2021 to 9/30/2024, as provided for in the applicable statutes and regulations. The Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described.

For purposes of simplicity and clarity, the specific provisions of applicable laws printed herein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text. The Lead Agency acknowledges its responsibility to adhere to the applicable laws 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 while at the same time promoting the learning and development of their children. The CCDF program also provides funding to enhance the quality of child care for all children.

The CCDF Plan is how states and territories apply for CCDF funding (658E (a)) and is the primary mechanism that the Administration for Children and Families (ACF) uses to determine state and territory compliance with the requirements of the law and rule (98.16). ACF acknowledges that in the FY 2022 – 2024 Plan, states and territories may still be operating under approved waivers related to the COVID-19 pandemic and where appropriate plan responses should reflect the approved waivers. The CCDF Plan allows states and territories to describe their implementation of the CCDF program and it is organized into the following sections:

1. Define CCDF Leadership and Coordination with Relevant Systems and Funding Sources
2. Promote Family Engagement Through Outreach and Consumer Education
3. Provide Stable Child Care Financial Assistance to Families
4. Ensure Equal Access to Child Care for Low-Income Children
5. Establish Standards and Monitoring Processes to Ensure the Health and Safety of Child Care Settings
6. Recruit and Retain a Qualified and Effective Child Care Workforce
7. Support Continuous Quality Improvement
8. Ensure Grantee Program Integrity and Accountability

These organizational categories reflect key goals of an integrated system of child care for low-income working families. Although the Plan is divided into sections for reporting and accountability purposes, ACF encourages Lead Agencies to approach the Plan in a cross-cutting, integrated manner. 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.

Citations

ACF recognizes that Lead Agencies use different mechanisms to establish policies, such as state statute, regulations, administrative rules, or policy manuals or policy issuances. When asked to provide a citation in the CCDF Plan, Lead Agencies should list the citation(s) for the policy that clearly identifies and establishes the requirement and that allows the Lead Agency to enforce the requirement. Lead Agencies may list multiple sources as needed to cover all types of providers receiving CCDF (e.g., policies for licensed providers may be established in licensing regulations, and policies for license-exempt providers may be in subsidy rules). These citations are intended to provide documentation to support the requested information but not replace requested responses or descriptions. Complete answers must include citations, responses, and descriptions.

CCDF Plan Submission

States and territories will submit their Plans electronically through the ACF-118 electronic submission site. The ACF-118 site will include all language and questions included in the final CCDF Plan Preprint template approved by the Office of Management and Budget. Please note that the format of the questions on the ACF-118 site could be modified from the Word version of the document to ensure compliance with Section 508 policies regarding accessibility to electronic and information technology for individuals with disabilities.

(See <http://www.section508.gov/> for more information.)

In responding to questions, states and territories are asked to provide brief, specific summaries and/or bullet points only with specific language that responds to the question. Do not use tables or copy and paste charts, add attachments, or paste manuals into the Plan. All information and materials developed to support CCDF implementation and information reported in the CCDF Plan are subject to review by ACF as part of ongoing oversight and monitoring efforts.

1 Define Leadership and Coordination with Relevant Systems and Funding Sources

This section identifies the leadership for the CCDF program in each Lead Agency and the entities and individuals who will participate in the implementation of the program. It also identifies the stakeholders that were consulted to develop the Plan and who the Lead Agency collaborates with to implement services. Respondents are asked to identify how match and maintenance-of-effort (MOE) funds are used. Lead Agencies explain their coordination with child care resource and referral (CCR&R) systems and describe their efforts on their disaster preparedness and response plans to support continuity of operations in response to emergencies.

1.1 CCDF Leadership

The Governor of a state or territory must designate an agency (which may be an appropriate collaborative agency) or establish a joint interagency office to represent the state or territory as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto (658D; 658E(c)(1) and 98.16 (a)). Note: An amendment to the CCDF State Plan is required if the Lead Agency changes or if the Lead Agency official changes.

1.1.1 Which Lead Agency is designated to administer the CCDF program?

Identify the Lead Agency or joint interagency office designated by the state or territory. 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) and 98.16(a)).

a. Lead Agency or Joint Interagency Office Information:

Name of Lead Agency: *Click or tap here to enter text.*

Street Address: *Click or tap here to enter text.*

City: *Click or tap here to enter text.*

State: *Click or tap here to enter text.*

ZIP Code: *Click or tap here to enter text.*

Web Address for Lead Agency: *Click or tap here to enter text.*

b. Lead Agency or Joint Interagency Official Contact Information:

Lead Agency Official First Name: *Click or tap here to enter text.*

Lead Agency Official Last Name: *Click or tap here to enter text.*

Title: *Click or tap here to enter text.*

Phone Number: *Click or tap here to enter text.*

Email Address: *Click or tap here to enter text.*

1.1.2 Who is the CCDF Administrator?

Identify the CCDF Administrator designated by the Lead Agency, the day-to-day contact, or the person with responsibility for administering the state's or territory's CCDF program. ACF will send programmatic communications, such as program announcements, program instructions, and data collection instructions, to the designated contact identified here. If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the Co-Administrator or the person with administrative responsibilities and include his or her contact information.

a. CCDF Administrator Contact Information:

CCDF Administrator First Name: [Click or tap here to enter text.](#)

CCDF Administrator Last Name: [Click or tap here to enter text.](#)

Title of the CCDF Administrator: [Click or tap here to enter text.](#)

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

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

b. CCDF Co-Administrator Contact Information (if applicable):

CCDF Co-Administrator First Name: [Click or tap here to enter text.](#)

CCDF Co-Administrator Last Name: [Click or tap here to enter text.](#)

Title of the CCDF Co-Administrator: [Click or tap here to enter text.](#)

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

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

Description of the Role of the Co-Administrator: [Click or tap here to enter text.](#)

1.2 CCDF Policy Decision Authority

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or public or private local agencies as long as the Lead Agency retains overall responsibility for the administration of the program (658D(b) and 98.16 (d)(1)). Administrative and implementation responsibilities undertaken by agencies other than the Lead Agency must be governed by written agreements that specify the mutual roles and responsibilities of the Lead Agency and other agencies in meeting the program requirements.

1.2.1 Which of the following CCDF program rules and policies are administered (i.e., set or established) at the state or territory level or local level? Identify whether CCDF program rules and policies are established by the state or territory (even if operated locally) or whether the CCDF policies or rules are established by local entities, such as counties or workforce boards (98.16(d)(1)). Check one.

- ☐ a. All program rules and policies are set or established at the state or territory level. If checked, skip to question 1.2.2.
- ☐ b. Some or all program rules and policies are set or established by local entities or agencies. If checked, indicate which entities establish the following policies. Check all that apply.

- i. Eligibility rules and policies (e.g., income limits) are set by the:
- ☐ State or territory. Identify the entity. *Click or tap here to enter text.*
 - ☐ Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the eligibility policies the local entity(ies) can set. *Click or tap here to enter text.*
 - ☐ Other. Describe: *Click or tap here to enter text.*
- ii. Sliding-fee scale is set by the:
- ☐ A. State or territory. Identify the entity. *Click or tap here to enter text.*
 - ☐ B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the sliding fee scale policies the local entity(ies) can set. *Click or tap here to enter text.*
 - ☐ C. Other. Describe: *Click or tap here to enter text.*
- iii. Payment rates and payment policies are set by the:
- ☐ A. State or territory. Identify the entity. *Click or tap here to enter text.*
 - ☐ B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the payment rates and payment policies the local entity(ies) can set. *Click or tap here to enter text.*
 - ☐ C. Other. Describe: *Click or tap here to enter text.*
- iv. Licensing standards and processes are set by the:
- ☐ A. State or territory. Identify the entity. *Click or tap here to enter text.*
 - ☐ B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the type of licensing standards and processes the local entity(ies) can set. ***Click or tap here to enter text.***
 - ☐ C. Other. Describe. *Click or tap here to enter text.*
- v. Standards and monitoring processes for license-exempt providers are set by the:
- ☐ A. State or territory. Identify the entity. *Click or tap here to enter text.*
 - ☐ B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the type of standards and monitoring processes for license-exempt providers the local entity(ies) can set. *Click or tap here to enter text.*
 - ☐ C. Other. Describe: *Click or tap here to enter text.*
- vi. Quality improvement activities, including QRIS are set by the:
- ☐ A. State or territory. Identify the entity. *Click or tap here to enter text.*
 - ☐ B. Local entity (e.g., counties, workforce boards, early learning coalitions). If checked, identify the entity and describe the type of quality improvement activities the local entity(ies) can set. *Click or tap here to enter text.*

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

vii. Other. List and describe any other program rules and policies that are set at a level other than the state or territory level: [Click or tap here to enter text.](#)

1.2.2 The Lead Agency has broad authority to operate (i.e., implement activities) through other agencies, as long as it retains overall responsibility. Complete the table below to identify which entity(ies) implements or performs CCDF services.

a. Check the box(es) to indicate which entity(ies) implement or perform CCDF services.

CCDF Activity	CCDF Lead agency	TANF agency	Local government agencies	CCR&R	Community-based organizations
Who conducts eligibility determinations?	☐	☐	☐	☐	☐
Who assists parents in locating child care (consumer education)?	☐	☐	☐	☐	☐
Who issues payments?	☐	☐	☐	☐	☐
Who monitors licensed providers?	☐	☐	☐	☐	☐
Who monitors license-exempt providers?	☐	☐	☐	☐	☐
Who operates the quality improvement activities?	☐	☐	☐	☐	☐

b. Other. List and describe any other state or territory agencies or partners that implement or perform CCDF services and identify their responsibilities. [Click or tap here to enter text.](#)

1.2.3 Describe the processes the Lead Agency uses to oversee and monitor CCDF administration and implementation responsibilities performed by other agencies as reported above in 1.2.1 and 1.2.2 (98.16(b)). In the description include:

- Written agreements. Note: The contents of the written agreement may vary based on the role the agency is asked to assume or type of project but must include at a minimum the elements below (98.11(a)(3)).
 - Tasks to be performed
 - Schedule for completing tasks
 - Budget which itemizes categorical expenditures in accordance with CCDF requirements
 - Monitoring and auditing procedures
 - Indicators or measures to assess performance of those agencies
- Any other processes to oversee and monitor other agencies.

Click or tap here to enter text.

- 1.2.4 Upon request, and to the extent practicable and appropriate, Lead Agencies must ensure any code or software for child care information systems or information technology for which a Lead Agency or other agency expends CCDF funds to develop must be made available to other public agencies. This includes public agencies in other states, for their use in administering child care or related programs (98.15(a)(11)). Assure by describing how the Lead Agency makes child care information systems (e.g., subsidy, registry, and QRIS systems) available to public agencies in other states. *Click or tap here to enter text.*
- 1.2.5 Lead Agencies must have in effect policies to govern the use and disclosure of confidential and personally identifiable information about children and families receiving CCDF assistance and child care providers receiving CCDF funds (98.15(b)(13)). Certify by describing the Lead Agency's policies related to the use and disclosure of confidential and personally identifiable information. *Click or tap here to enter text.*

1.3 Consultation in the Development of the CCDF Plan

The Lead Agency is responsible for developing the CCDF Plan, which serves as the application for a 3-year implementation period. As part of the Plan development process, Lead Agencies must consult with the following:

- (1) Appropriate representatives of units of general purpose local government— (658D(b)(2); 98.10(c); 98.12(b); 98.14(b)). General purpose local governments are defined by the U.S. Census at https://www.census.gov/newsroom/cspan/govts/20120301_cspan_govts_def_3.pdf.
- (2) The State Advisory Council (SAC) on Early Childhood Education and Care (pursuant to 642B(b)(1)(A)(i) of the Head Start Act) (658E(c)(2)(R); 98.15(b)(1)) or similar coordinating body pursuant to 98.14(a)(1)(vii).
- (3) Indian tribe(s) or tribal organization(s) within the state. This consultation should be done in a timely manner and at the option of the Indian tribe(s) or tribal organization(s) (658D(b)(1)(E)).

Consultation involves meeting with or otherwise obtaining input from an appropriate agency in the development of the state or territory CCDF Plan. Describe the partners engaged to provide services under the CCDF program as described in question 1.4.1.

- 1.3.1 Describe the Lead Agency's consultation efforts in the development of the CCDF Plan. Note: Lead Agencies must describe in a. – c. consultation efforts with required partners listed in Rule and Statute. ACF recognizes that there is great value in consulting with other entities and has provided element d. for Lead Agencies to identify consultation efforts with other agencies or organizations.
- a. Describe how the Lead Agency consulted with appropriate representatives of general purpose local governments. *Click or tap here to enter text.*
 - b. Describe how the Lead Agency consulted with the State Advisory Council or similar coordinating body. *Click or tap here to enter text.*

- c. Describe, if applicable, how the Lead Agency consulted with Indian tribes(s) or tribal organizations(s) within the state. Note: The CCDF regulations recognize the need for states to conduct formal, structured consultation with Tribal governments, including Tribal leadership. Many states and tribes have consultation policies and procedures in place.
[Click or tap here to enter text.](#)
 - d. Describe any other entities, agencies, or organizations consulted on the development of the CCDF Plan. [Click or tap here to enter text.](#)
- 1.3.2 Describe the statewide or territory-wide public hearing process held to provide the public with an opportunity to comment on the provision of child care services under this Plan (658D(b)(1)(C); 98.16(f)). Reminder: Lead Agencies are required to hold at least one public hearing in the state or territory, with sufficient statewide or territory-wide distribution of notice prior to such a hearing to enable the public to comment on the provision of child care services under the CCDF Plan. At a minimum, this description must include:
- a. Date of the public hearing. [Click or tap here to enter text.](#)
Reminder: Must be no earlier than January 1, 2021, which is 9 months prior to the October 1, 2021, effective date of the Plan. If more than one public hearing was held, please enter one date (e.g., the date of the first hearing, the most recent hearing or any hearing date that demonstrates this requirement).
 - b. Date of notice of public hearing (date for the notice of public hearing identified in a.. [Click or tap here to enter text.](#)
Reminder: Must be at least 20 calendar days prior to the date of the public hearing. If more than one public hearing was held, enter one date of notice (e.g., the date of the first notice, the most recent notice or any date of notice that demonstrates this requirement).
 - c. How was the public notified about the public hearing? Please include specific website links if used to provide notice. [Click or tap here to enter text.](#)
 - d. Hearing site or method, including how geographic regions of the state or territory were addressed. [Click or tap here to enter text.](#)
 - e. How the content of the Plan was made available to the public in advance of the public hearing. (e.g., the Plan was made available in other languages, in multiple formats, etc.)
[Click or tap here to enter text.](#)
 - f. How was the information provided by the public taken into consideration regarding the provision of child care services under this Plan? [Click or tap here to enter text.](#)
- 1.3.3 Lead Agencies are required to make the submitted and final Plan, any Plan amendments, and any approved requests for temporary relief (i.e., waivers) publicly available on a website (98.14(d)). Please note that a Lead Agency must submit Plan amendments within 60 days of a substantial change in the Lead Agency's program. (Additional information may be found at <https://www.acf.hhs.gov/occ/resource/pi-2009-01>.)
- a. Provide the website link to where the Plan, any Plan amendments, and/or waivers are available. Note: A Plan amendment is required if the website address where the Plan is posted is changed. [Click or tap here to enter text.](#)
 - b. Describe any other strategies that the Lead Agency uses to make the CCDF Plan and Plan amendments available to the public (98.14(d)). Check all that apply and describe the strategies below, including any relevant website links as examples.
 - ☐ Working with advisory committees. Describe: [Click or tap here to enter text.](#)

- ☐ Working with child care resource and referral agencies. Describe: [Click or tap here to enter text.](#)
- ☐ Providing translation in other languages. Describe: [Click or tap here to enter text.](#)
- ☐ Sharing through social media (e.g., Twitter, Facebook, Instagram, email). Describe: [Click or tap here to enter text.](#)
- ☐ Providing notification to stakeholders (e.g., parent and family groups, provider groups, advocacy groups). Describe: [Click or tap here to enter text.](#)
- ☐ Working with statewide afterschool networks or similar coordinating entities for out-of-school time.
- ☐ Other. Describe: [Click or tap here to enter text.](#)

1.4 Coordination with Partners to Expand Accessibility and Continuity of Care

Lead Agencies are required to describe how the state or territory will efficiently, and to the extent practicable, coordinate child care services supported by CCDF with programs operating at the federal, state/territory, and local levels for children in the programs listed below. This includes programs for the benefit of Indian children, infants and toddlers, children with disabilities, children experiencing homelessness, and children in foster care (98.14(a)(1)).

- 1.4.1 Describe how the Lead Agency coordinates the provision of child care services with the following programs to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services that meet the needs of working families (658E(c)(2)(O); 98.12(a); 98.14(a)).

This list includes agencies or programs required by law or rule, along with a list of optional partners that Lead Agencies potentially would coordinate with over the next 3 years to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services.

Include in the descriptions the goals of this coordination, such as:

- extending the day or year of services for families.
 - smoothing transitions for children between programs or as they age into school.
 - enhancing and aligning the quality of services for infants and toddlers through school-age children.
 - linking comprehensive services to children in child care or school-age settings.
 - developing the supply of quality care for vulnerable populations (as defined by the Lead Agency) in child care and out-of-school time settings.
- a. The Lead Agency is required to coordinate with the following agencies. Provide a description for how coordination occurred.
- i. Appropriate representatives of the general purpose local government, which can include counties, municipalities, or townships/towns. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)

- ii. State Advisory Council on Early Childhood Education and Care or similar coordinating body (pursuant to 642B(b)(1)(A)(i) of the Head Start Act). Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
 - ☐ Check here if the Lead Agency has official representation and a decision-making role in the State Advisory Council or similar coordinating body.
- iii. Indian tribe(s) and/or tribal organization(s), at the option of individual tribes. Describe the coordination goals, processes, and results, including which tribe(s) was (were) consulted: [Click or tap here to enter text.](#)
 - ☐ N/A—Check here if there are no Indian tribes and/or tribal organizations in the state.
- iv. State/territory agency(ies) responsible for programs for children with special needs, including early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Part B, Section 619 for preschool). Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- v. State/territory office/director for Head Start state collaboration. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- vi. State/territory agency responsible for public health, including the agency responsible for immunizations. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- vii. State/territory agency responsible for employment services/workforce development. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- viii. State/territory agency responsible for public education, including Prekindergarten (PreK). Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- ix. State/territory agency responsible for child care licensing. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- x. State/territory agency responsible for the Child and Adult Care Food Program (CACFP) and other relevant nutrition programs. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- xi. 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 the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- xii. State/territory agency responsible for the Temporary Assistance for Needy Families (TANF) program. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- xiii. Agency responsible for Medicaid and the state Children’s Health Insurance Program. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- xiv. State/territory agency responsible for mental health. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)

- xv. Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- xvi. Statewide afterschool network or other coordinating entity for out-of-school time care (if applicable). Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- xvii. Agency responsible for emergency management and response. Describe the coordination goals, processes, and results: [Click or tap here to enter text.](#)
- b. The following are examples of optional partners a state might coordinate with to provide services. Check which optional partners the Lead Agency coordinates with and describe the coordination goals, processes and results.
 - ☐ i. State/territory/local agencies with Early Head Start – Child Care Partnership grants. Describe: [Click or tap here to enter text.](#)
 - ☐ ii. State/territory institutions for higher education, including community colleges. Describe: [Click or tap here to enter text.](#)
 - ☐ iii. Other federal, state, local, and/or private agencies providing early childhood and school-age/youth-serving developmental services. Describe: [Click or tap here to enter text.](#)
 - ☐ iv. State/territory agency responsible for implementing the Maternal and Child Home Visitation programs grant. Describe: [Click or tap here to enter text.](#)
 - ☐ v. Agency responsible for Early and Periodic Screening, Diagnostic, and Treatment Program. Describe: [Click or tap here to enter text.](#)
 - ☐ vi. State/territory agency responsible for child welfare. Describe: [Click or tap here to enter text.](#)
 - ☐ vii. Provider groups or associations. Describe: [Click or tap here to enter text.](#)
 - ☐ viii. Parent groups or organizations. Describe: [Click or tap here to enter text.](#)
 - ☐ ix. Other. Describe: [Click or tap here to enter text.](#)

1.5 Optional Use of Combined Funds, CCDF Matching, and Maintenance-of-Effort Funds

Optional Use of Combined Funds: States and territories have the option to combine CCDF funds with any required program in 1.4.1. These programs include those operating at the federal, state, and local levels for children in preschool programs, tribal early childhood programs, and other early childhood programs, including those serving infants and toddlers with disabilities, children experiencing homelessness, and children in foster care (658E(c)(2)(O)(ii)).

Combining funds could include blending multiple funding streams, pooling funds, or layering funds together from multiple funding streams to expand and/or enhance services for infants, toddlers, preschoolers, and school-age children and families to allow for the delivery of

comprehensive quality care that meets the needs of children and families. For example, state/territory agencies may use multiple funding sources to offer grants or contracts to programs to deliver services; a state/territory may allow a county/local government to use coordinated funding streams; or policies may be in place that allow local programs to layer CCDF funds with additional funding sources to pay for full-day, full-year child care that meets Early Head Start/Head Start Program Performance Standards or state/territory Prekindergarten requirements in addition to state/territory child care licensing requirements.

As a reminder, CCDF funds may be used in collaborative efforts with Head Start programs to provide comprehensive child care and development services for children who are eligible for both programs. In fact, the coordination and collaboration between Head Start and CCDF is strongly encouraged by sections 640(g)(1)(D) and (E); 640(h); 641(d)(2)(H)(v); and 642(e)(3) of the Head Start Act in the provision of full working day, full calendar year comprehensive services. To implement such collaborative programs, which share, for example, space, equipment, or materials, grantees may layer several funding streams so that seamless services are provided (Policy and Program Guidance for the Early Head Start – Child Care Partnerships: https://www.acf.hhs.gov/sites/default/files/occ/acf_im_ohs_15_03.pdf).

1.5.1 Does the Lead Agency choose to combine funding for CCDF services for any programs identified in 1.4.1 (98.14(a)(3))?

☐ No (If no, skip to question 1.5.2)

☐ Yes. If yes, describe at a minimum:

- a. How you define “combine” [Click or tap here to enter text.](#)
- b. Which funds you will combine? [Click or tap here to enter text.](#)
- c. What is your purpose and expected outcomes for combining funds, such as extending the day or year of services available (i.e., full-day, full-year programming for working families), smoothing transitions for children, enhancing and aligning quality of services, linking comprehensive services to children in child care, or developing the supply of child care for vulnerable populations? Note: Responses should align with the goals, processes and results describe in 1.4.1. [Click or tap here to enter text.](#)
- d. How you will be combining multiple sets of funding, such as at the state/territory level, local level, program level? [Click or tap here to enter text.](#)
- e. How are the funds tracked and method of oversight [Click or tap here to enter text.](#)

1.5.2 Which of the following funds does the Lead Agency intend to use to meet the CCDF matching and MOE requirements described in 98.55(e) and 98.55(h)? Check all that apply.

Note: Lead Agencies that use Prekindergarten funds to meet matching requirements must check Prekindergarten funds and public and/or private funds. Use of PreK for Maintenance of Effort: The CCDF Final Rule clarifies that public PreK funds may also serve as maintenance-of-effort funds as long as the state/territory can describe how it will coordinate PreK and child care services to expand the availability of child care while using public Prekindergarten funds as no more than 20 percent of the state’s or territory’s maintenance of effort or 30 percent of its matching funds in a single fiscal year (FY) (98.55(h)). If expenditures for PreK services are used to meet the maintenance-of-effort requirement, the state/territory must certify that it has not reduced its level of effort in full-day/full-year child care services (98.55(h)(1); 98.15(a)(6)).

Use of Private Funds for Match or Maintenance of Effort: Donated funds do not need to be under the administrative control of the Lead Agency to qualify as an expenditure for federal match. However, Lead Agencies do need to identify and designate in the state/territory Plan the donated funds given to public or private entities to implement the CCDF child care program (98.55(f)).

- ☐ a. N/A—The territory is not required to meet CCDF matching and MOE requirements.
- ☐ b. Public funds are used to meet the CCDF matching fund requirement. Public funds may include any general revenue funds, county or other local public funds, state-/territory-specific funds (tobacco tax, lottery), or any other public funds.
 - i. If checked, identify the source of funds: [Click or tap here to enter text.](#)
- ☐ c. Private donated funds are used to meet the CCDF matching funds requirement. Only private funds received by the designated entities or by the Lead Agency may be counted for match purposes (98.53(f)).
 - i. If checked, are those funds:
 - ☐ A. Donated directly to the state?
 - ☐ B. Donated to a separate entity(ies) designated to receive private donated funds?
 - ii. If checked, identify the name, address, contact, and type of entities designated to receive private donated funds: [Click or tap here to enter text.](#)
- ☐ d. State expenditures for PreK programs are used to meet the CCDF matching funds requirement. If checked, provide the estimated percentage of the matching fund requirement that will be met with Prekindergarten expenditures (not to exceed 30 percent): [Click or tap here to enter text.](#)
 - i. If the percentage is more than 10 percent of the matching fund requirement, describe how the state will coordinate its Prekindergarten and child care services:
[Click or tap here to enter text.](#)
 - ii. Describe the Lead Agency efforts to ensure that Prekindergarten programs meet the needs of working parents:
[Click or tap here to enter text.](#)
- ☐ e. State expenditures for Prekindergarten programs are used to meet the CCDF maintenance-of-effort requirements. If checked,
 - i. Assure by describing how the Lead Agency did not reduce its level of effort in full-day/full-year child care services, pursuant to 98.55(h)(1) and 98.15(a)(6).
[Click or tap here to enter text.](#)
 - ii. Describe the Lead Agency efforts to ensure that Prekindergarten programs meet the needs of working parents: [Click or tap here to enter text.](#)
 - iii. Estimated percentage of the MOE Fund requirement that will be met with Prekindergarten expenditures (not to exceed 20 percent):
[Click or tap here to enter text.](#)

- iv. If the percentage is more than 10 percent of the MOE requirement, describe how the state will coordinate its Prekindergarten and child care services to expand the availability of child care: [Click or tap here to enter text.](#)
- ☐ f. The same funds are used to meet at least some of the CCDF MOE and TANF MOE requirements.
 - i. If known, what percent of funds used to meet CCDF MOE also is used to meet TANF MOE requirements? [Click or tap here to enter text.](#)

1.6 Public-Private Partnerships

Lead Agencies are required to describe how they encourage public-private partnerships among other public agencies, tribal organizations, private entities, faith-based organizations, businesses or organizations that promote business involvement, and/or community-based organizations to leverage existing service delivery (i.e., cooperative agreement among providers to pool resources to pay for shared fixed costs and operation) (658E(c)(2)(P)). ACF expects these types of partnerships to leverage public and private resources to further the goals of the CCDBG Act. Lead Agencies are required to demonstrate how they encourage public-private partnerships to leverage existing child care and early education service-delivery systems and to increase the supply and quality of child care services for children younger than age 13, for example, by implementing voluntary shared service alliance models (98.14(a)(4)).

- 1.6.1 Identify and describe any public-private partnerships encouraged by the Lead Agency to leverage public and private resources to further the goals of the CCDBG Act. Include in the response any public-private partnerships that have emerged from the response to the COVID-19 pandemic (98.16(d)(2)) and if applicable, how those partnerships will be continued post-pandemic. [Click or tap here to enter text.](#)

1.7 Coordination with Child Care Resource and Referral Systems

Lead Agencies may use CCDF funds to establish or support a system or network of local or regional child care resource and referral (CCR&R) organizations that is coordinated, to the extent determined by the state/territory, by a statewide public or private non-profit, community-based or regionally based, lead child care resource and referral organization (such as a statewide CCR&R network) (658E(c)(3)(B)(iii); 98.52).

If Lead Agencies use CCDF funds for local CCR&R organizations, the local or regional CCR&R organizations supported by those funds must, at the direction of the Lead Agency:

- Provide parents in the state with consumer education information concerning the full range of child care options (including faith-based and community-based child care providers), analyzed by provider, including child care provided during non-traditional hours and through emergency child care centers, in their area.

- To the extent practicable, work directly with families who receive assistance to offer the families support and assistance to make an informed decision about which child care providers they will use to ensure that the families are enrolling their children in the most appropriate child care setting that suits their needs and one that is of high quality (as determined by the Lead Agency).
- Collect data and provide information on the coordination of services and supports, including services under Part B, Section 619 and Part C of the Individuals with Disabilities Education Act.
- Collect data and provide information on the supply of and demand for child care services in areas of the state and submit the information to the state.
- Work to establish partnerships with public agencies and private entities, including faith-based and community-based child care providers, to increase the supply and quality of child care services in the state and, as appropriate, coordinate their activities with the activities of the state Lead Agency and local agencies that administer funds made available through CCDF (98.52(b)).

Nothing in the statute or rule prohibits states from using CCR&R agencies to conduct or provide additional services beyond those required by statute or rule.

Note: Use 1.7.1 to address if a state/territory funds a CCR&R organization, describe what services are provided and how it is structured. Use subsection 7.5 to address the services provided by the local or regional child care resource and referral agencies and the indicators of progress met by CCR&R organizations if they are funded by quality set-aside funds.

1.7.1 Does the Lead Agency fund local or regional CCR&R organizations?

- ☐ No. The state/territory does not fund a CCR&R organization(s) and has no plans to establish one.
- ☐ Yes. The state/territory funds a CCR&R organization(s) with all the responsibilities outlined above. If yes, describe the following:

How are CCR&R services organized? Include how many agencies, if there is a statewide network, and if the system is coordinated: [Click or tap here to enter text.](#)

1.8 Disaster Preparedness and Response Plan

In past disasters, and in response to the COVID-19 pandemic, the provision of emergency child care services and rebuilding and restoring of child care infrastructure has emerged as an essential service. Lead Agencies are required to establish a Statewide Child Care Disaster Plan (658E(c)(2)(U)). They must demonstrate 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 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)—through a Statewide Disaster Plan. The effective date for the establishment of this Statewide Disaster Plan was October 1, 2018.

1.8.1 Did you make any updates to the Statewide Disaster Plan since the FY 2019-2021 CCDF Plan was submitted? Please consider any updates that were made as a result of the Lead Agency's experiences in responding to the COVID-19 pandemic. (Note: It is a Lead Agency decision on how often a plan should be updated and which entities, if any, should be collaborated with in the updating process.)

☐ No

☐ Yes. If yes, describe the elements of the plan that were updated: [Click or tap here to enter text.](#)

1.8.2 To demonstrate continued compliance with the required elements in the Statewide Disaster Plan, certify by checking the required elements included in the current State Disaster Preparedness and Response Plan.

- ☐ a. The plan was developed in collaboration with the following required entities:
 - ☐ i. State human services agency
 - ☐ ii. State emergency management agency
 - ☐ iii. State licensing agency
 - ☐ iv. State health department or public health department
 - ☐ v. Local and state child care resource and referral agencies
 - ☐ vi. State Advisory Council on Early Childhood Education and Care or similar coordinating body
- ☐ b. The plan includes guidelines for the continuation of child care subsidies.
- ☐ c. The plan includes guidelines for the continuation of child care services.
- ☐ d. The plan includes procedures for the coordination of post-disaster recovery of child care services.
- ☐ e. The plan contains requirements for all CCDF providers (both licensed and license-exempt) to have in place:
 - ☐ i. Procedures for evacuation
 - ☐ ii. Procedures for relocation
 - ☐ iii. Procedures for shelter-in-place
 - ☐ iv. Procedures for communication and reunification with families
 - ☐ v. Procedures for continuity of operations
 - ☐ vi. Procedures for accommodations of infants and toddlers
 - ☐ vii. Procedures for accommodations of children with disabilities
 - ☐ viii. Procedures for accommodations of children with chronic medical conditions
- ☐ f. The plan contains procedures for staff and volunteer emergency preparedness training.
- ☐ g. The plan contains procedures for staff and volunteer practice drills.

1.8.3 If available, provide the direct URL/website link to the website where the statewide child care disaster plan is posted: [Click or tap here to enter text.](#)

2 Promote Family Engagement Through Outreach and Consumer Education

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)). Lead Agencies have the opportunity to consider how information can be provided to parents through the child care assistance system, partner agencies, and child care consumer education websites.

The target audience for the consumer education information includes three groups: parents receiving CCDF assistance, the general public, and when appropriate, child care providers. OCC expects that Lead Agencies are using targeted strategies for each group to ensure tailored consumer education information. In this section, Lead Agencies will address how information is made available to families, the general public and child care providers 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, 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 social-emotional development, is shared.

This section also covers the parental complaint process and the consumer education website that has been developed by the Lead Agency. Finally, this section addresses the consumer statement that is provided to parents supported with CCDF funds.

Note: When asked for citations, responses can include state statute, regulations, administrative rules, policy manuals, or policy issuances. See the Introduction on page 4 for more detail.

2.1 Outreach to Families with Limited English Proficiency and Persons with Disabilities

The Lead Agency is required to describe how it provides outreach and services to eligible families with limited English proficiency and persons with disabilities and to facilitate the participation of child care providers with limited English proficiency and child care providers with disabilities in the CCDF program (98.16(dd)). Lead Agencies are required 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 (81 FR 67456).

- 2.1.1 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families for whom English is not their first language. Check all that apply.

- ☐ a. Application in other languages (application document, brochures, provider notices)
- ☐ b. Informational materials in non-English languages
- ☐ c. Website in non-English languages
- ☐ d. Lead Agency accepts applications at local community-based locations
- ☐ e. Bilingual caseworkers or translators available
- ☐ f. Bilingual outreach workers
- ☐ g. Partnerships with community-based organizations
- ☐ h. Collaboration with Head Start, Early Head Start, and Migrant Head Start
- ☐ i. Home visiting programs
- ☐ j. Other. Describe: [Click or tap here to enter text.](#)

2.1.2 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families with a person(s) with a disability. Check all that apply.

- ☐ a. Applications and public informational materials available in Braille and other communication formats for access by individuals with disabilities
- ☐ b. Websites that are accessible (e.g., Section 508 of the Rehabilitation Act)
- ☐ c. Caseworkers with specialized training/experience in working with individuals with disabilities
- ☐ d. Ensuring accessibility of environments and activities for all children
- ☐ e. Partnerships with state and local programs and associations focused on disability-related topics and issues
- ☐ f. Partnerships with parent associations, support groups, and parent-to-parent support groups, including the Individuals with Disabilities Education Act (IDEA) federally funded Parent Training and Information Centers
- ☐ g. Partnerships with state and local IDEA Part B, Section 619 and Part C providers and agencies
- ☐ h. Availability and/or access to specialized services (e.g., mental health, behavioral specialists, therapists) to address the needs of all children
- ☐ i. Other. Describe: [Click or tap here to enter text.](#)

2.2 Parental Complaint Process

The Lead Agency must certify that the state/territory 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)). Lead Agencies must also provide a detailed description of the hotline or similar reporting process for parents to submit complaints about child care providers; the process for substantiating complaints; the manner in which the Lead Agency maintains a record of substantiated parental complaints; and ways that the Lead Agency makes information on such parental complaints available to the public on request (98.16 (s); 98.32(d)).

- 2.2.1 Describe the Lead Agency's hotline or similar reporting process through which parents can submit complaints about child care providers, including a link if it is a Web-based process: [Click or tap here to enter text.](#)
- 2.2.2 For complaints regarding all providers, including CCDF providers and non-CCDF providers, describe the Lead Agency's process and timeline for screening, substantiating, and responding to complaints. Describe whether the process includes monitoring, and highlight any differences in processes for CCDF and non-CCDF providers and licensed and license-exempt providers: [Click or tap here to enter text.](#)
- 2.2.3 Certify by describing how the Lead Agency maintains a record of substantiated parental complaints. Highlight any differences in processes for CCDF and non-CCDF providers and licensed and license-exempt providers: [Click or tap here to enter text.](#)
- 2.2.4 Certify by describing how the Lead Agency makes information about substantiated parental complaints available to the public; this information can include the consumer education website discussed in section 2.3: [Click or tap here to enter text.](#)
- 2.2.5 Provide the citation to the Lead Agency's policy and process related to parental complaints: [Click or tap here to enter text.](#)

2.3 Consumer Education Website

States and territories are required to provide information to parents, the general public, and when applicable, child care providers through a state website, which is consumer-friendly and easily accessible (658E(c)(2)(E)(i)(III) and 98.33 (a)). The website must include information to assist families in understanding the Lead Agency's policies and procedures, including licensing child care providers. The website information must also include monitoring and inspection reports for each provider, and the quality of each provider (if such information is available for the provider) (658E(c)(2)(D); 98.33(a)). The website should also provide access to a yearly statewide report on the aggregate number of deaths, serious injuries, and the number of cases of substantiated child abuse that have occurred in child care settings. To help families access additional information on finding child care, the website must include contact information for local child care and resource referral organizations. It must also include information on how parents can contact the Lead Agency and other organizations to better understand the information on the website.

To certify, respond to questions 2.3.1 through 2.3.10 by describing how the Lead Agency meets these requirements and provide the direct URL/website link to the consumer education website in 2.3.11.

Please note that any changes made to the web links provided below in this section after the CCDF Plan is approved will require a CCDF Plan amendment.

- 2.3.1 Describe how the Lead Agency ensures that its website is consumer-friendly and easily accessible. (Note: While there is no Federal CCDF definition for easily accessible, Lead Agencies may consider easily accessible websites to be searchable, simple to navigate, written in plain language, and easy to understand.): [Click or tap here to enter text.](#)
- 2.3.2 Describe how the website ensures the widest possible access to services for families that speak languages other than English (98.33(a)): [Click or tap here to enter text.](#)
- 2.3.3 Describe how the website ensures the widest possible access to services for persons with disabilities: [Click or tap here to enter text.](#)
- 2.3.4 Provide the specific website links to the descriptions of the Lead Agency's processes related to child care.

A required component of the consumer education website is a description of Lead Agency policies and procedures relating to child care (98.33(a)(1)). This information includes a description of how the state/territory licenses child care, a rationale for exempting providers from licensing requirements, the procedure for conducting monitoring and inspections of providers, and the policies and procedures related to criminal background checks.

- a. Provide the direct URL/website link to how the Lead Agency licenses child care providers, including the rationale for exempting certain providers from licensing requirements, as described in subsection 5.2: [Click or tap here to enter text.](#)
 - b. Provide the direct URL/website link to the processes for conducting monitoring and inspections of child care providers, as described in subsection 5.4: [Click or tap here to enter text.](#)
 - c. Provide the direct URL/website link to the policies and procedures related to criminal background checks for staff members of child care providers, as described in 5.5.2. [Click or tap here to enter text.](#)
 - d. Provide the direct URL/website link to the offenses that prevent individuals from being employed by a child care provider or receiving CCDF funds, as described in questions 5.5.4: [Click or tap here to enter text.](#)
- 2.3.5 How does the Lead Agency post a localized list of providers searchable by zip code on its website?

The consumer education website must include a list of all licensed providers (98.33 (a)(2)). At the discretion of the Lead Agency, all providers eligible to deliver CCDF services, identified as either licensed or license-exempt, can be included. Providers caring for children to whom they are related do not need to be included. The list of providers must be searchable by ZIP Code.

- a. Provide the website link to the list of child care providers searchable by ZIP code: [Click or tap here to enter text.](#)
- b. In addition to the licensed providers that are required to be included in your searchable list, are there additional providers included in the Lead Agency's searchable list of child care providers (please check all that apply)?

- ☐ i. License-exempt center-based CCDF providers
- ☐ ii. License-exempt family child care (FCC) CCDF providers
- ☐ iii. License-exempt non-CCDF providers
- ☐ iv. Relative CCDF child care providers
- ☐ v. Other. Describe: [Click or tap here to enter text.](#)

- c. Identify what informational elements, if any, are available in the searchable results. Note: Quality information (if available) and monitoring results are required on the website but are not required to be a part of the search results. Check the box when information is provided.

Provider Information Available in Searchable Results					
	All Licensed Providers	License-Exempt CCDF Center-based Providers	License-Exempt CCDF Family Child Care Home Providers	License-Exempt Non-CCDF Providers	Relative CCDF Providers
Contact Information	☐	☐	☐	☐	☐
Enrollment capacity	☐	☐	☐	☐	☐
Hours, days and months of operation	☐	☐	☐	☐	☐
Provider education and training	☐	☐	☐	☐	☐
Languages spoken by the caregiver	☐	☐	☐	☐	☐
Quality information	☐	☐	☐	☐	☐
Monitoring reports	☐	☐	☐	☐	☐
Willingness to accept CCDF certificates.	☐	☐	☐	☐	☐
Ages of children served	☐	☐	☐	☐	☐

- d. Other information included for:

- ☐ i. All Licensed providers. [Click or tap here to enter text.](#)
- ☐ ii. License-exempt CCDF center-based providers. [Click or tap here to enter text.](#)
- ☐ iii. License-exempt CCDF family child care providers. [Click or tap here to enter text.](#)
- ☐ iv. License-exempt, non-CCDF providers. [Click or tap here to enter text.](#)
- ☐ v. Relative CCDF providers. [Click or tap here to enter text.](#)

2.3.6 Lead Agencies must also identify specific quality information on each child care provider for whom they have this information. The type of information provided is determined by the Lead Agency, and it should help families easily understand whether a provider offers services that meet Lead Agency-specific best practices and standards or a nationally recognized, research-based set of criteria. Provider-specific quality information must only be posted on the consumer website if it is available for the individual provider.

- a. What information does the Lead Agency provide on the website to determine quality ratings or other quality information?
 - ☐ i. Quality rating and improvement system
 - ☐ ii. National accreditation
 - ☐ iii. Enhanced licensing system
 - ☐ iv. Meeting Head Start/Early Head Start Program Performance Standards
 - ☐ v. Meeting Prekindergarten quality requirements
 - ☐ vi. School-age standards, where applicable
 - ☐ vii. Other. Describe: [Click or tap here to enter text.](#)
- b. For what types of providers are quality ratings or other indicators of quality available?

- ☐ i. Licensed CCDF providers. Describe the quality information:
[Click or tap here to enter text.](#)
- ☐ ii. Licensed non-CCDF providers. Describe the quality information:
[Click or tap here to enter text.](#)
- ☐ iii. License-exempt center-based CCDF providers. Describe the quality information:
[Click or tap here to enter text.](#)
- ☐ iv. License-exempt FCC CCDF providers. Describe the quality information:
[Click or tap here to enter text.](#)
- ☐ v. License-exempt non-CCDF providers. Describe the quality information:
[Click or tap here to enter text.](#)
- ☐ vii. Relative child care providers. Describe the quality information:
[Click or tap here to enter text.](#)
- ☐ viii. Other. Describe: [Click or tap here to enter text.](#)

2.3.7 Lead Agencies must post monitoring and inspection reports on the consumer education website for each licensed provider and for each non-relative provider eligible to provide CCDF services. These reports must include the 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. A full report covers everything in the monitoring visit, including areas of compliance and non-compliance. If the state does not produce any reports that include areas of compliance, the website must include information about all areas covered by a monitoring visit (e.g., by posting a blank checklist used by monitors).

The reports must be in plain language or provide a plain language summary, as defined by the state or territory, 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. Lead Agencies must post at least 3 years of reports.

Certify by responding to the questions below:

- a. Does the Lead Agency post? (check one):
- ☐ i. Full monitoring reports that include areas of compliance and non-compliance.
 - ☐ ii. Monitoring reports that include areas of non-compliance only, with information about all areas covered by a monitoring visit posted separately on the website (e.g., a blank checklist used by monitors). Note: This option is only allowable if the state/territory does not produce monitoring reports that include both areas of compliance and non-compliance. If checked, provide a direct URL/website link to the website where a blank checklist is posted. [Click or tap here to enter text.](#)

- b. Check to certify that the monitoring and inspection reports and, if necessary, their plain language summaries include:
- ☐ Date of inspection
 - ☐ Health and safety violations, including those violations that resulted in fatalities or serious injuries occurring at the provider. Describe how these health and safety violations are prominently displayed: [Click or tap here to enter text.](#)
 - ☐ Corrective action plans taken by the state and/or child care provider. Describe: [Click or tap here to enter text.](#)
 - ☐ A minimum of 3 years of results, where available.
- c. How and where are reports posted in a timely manner? Specifically, provide the Lead Agency's definition of "timely" and describe how it ensures that reports and/or summaries are posted within its timeframe. Note: While Lead Agencies may define "timely," we recommend Lead Agencies update results as soon as possible and no later than 90 days after an inspection or corrective action is taken.
- i. Provide the direct URL/website link to where the reports are posted. [Click or tap here to enter text.](#)
 - ii. Describe how the Lead Agency defines timely posting of monitoring reports. [Click or tap here to enter text.](#)
- d. Monitoring and inspection reports or the summaries must be in plain language to meet the CCDF regulatory requirements (98.33 (a)(4)).
- i. Provide the Lead Agency's definition of plain language. [Click or tap here to enter text.](#)
 - ii. Describe how the monitoring and inspection reports or the summaries are in plain language. [Click or tap here to enter text.](#)
- e. Describe the process for correcting inaccuracies in reports (98.33 (a)(4)). [Click or tap here to enter text.](#)
- f. Describe the process for providers to appeal the findings in reports. Description of the process should include the time requirements and timeframes for:
- filing the appeal
 - conducting the investigation
 - removal of any violations from the website determined on appeal to be unfounded. [Click or tap here to enter text.](#)
- g. Describe the process for maintaining monitoring and inspection reports on the website. Specifically, provide the minimum number of years reports are posted and the policy for removing reports (98.33(a)(4)(iv)). [Click or tap here to enter text.](#)

- 2.3.8 Aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year must be posted by Lead Agencies on the consumer education website (98.33(a)(5)). The serious incident aggregate data should include information about any child in the care of a provider eligible to receive CCDF, not just children receiving subsidies.

This aggregate information on serious injuries and deaths must be separated by category of care (e.g. centers, family child care homes, and in-home care) and licensing status (i.e. licensed or license-exempt) for all eligible CCDF providers in the state. The information on instances of substantiated child abuse does not have to be organized by category of care or licensing status. Information should also include the total number of children regulated to be cared for by provider type and licensing status (81 FR, p. 67477), so that families can view the serious injuries, deaths, and substantiated cases of abuse data in context. The aggregate report should not include individual provider-specific information or names.

- a. Certify by providing:
 - i. 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)) and describe how the Lead Agency obtains the aggregate data from the entity. [Click or tap here to enter text.](#)
 - ii. The definition of “substantiated child abuse” used by the Lead Agency for this requirement. [Click or tap here to enter text.](#)
 - iii. The definition of “serious injury” used by the Lead Agency for this requirement. [Click or tap here to enter text.](#)
- b. Certify by checking below that the required elements are included in the Aggregate Data Report on serious incident data that have occurred in child care settings each year.
 - ☐ i. the total number of serious injuries of children in care by provider category/licensing status
 - ☐ ii. the total number of deaths of children in care by provider category/licensing status
 - ☐ iii. the total number of substantiated instances of child abuse in child care settings
 - ☐ iv. the total number of children in care by provider category/licensing status
- c. Provide the website link to the page where the aggregate number of serious injuries, deaths, and substantiated instances of child abuse are posted. [Click or tap here to enter text.](#)

- 2.3.9 The consumer education website must include contact information on referrals to local child care resource and referral organizations (98.33 (a)(6)). How does the Lead Agency provide referrals to local CCR&R agencies through the consumer education website? Describe and include a website link to this information: [Click or tap here to enter text.](#)

- 2.3.10 The consumer education website must include information on how parents can contact the Lead Agency, or its designee, or other programs that can help the parent understand information included on the website (98.33 (a)(7)). Describe and include a website link to this information: [Click or tap here to enter text.](#)

- 2.3.11 Provide the website link to the Lead Agency’s consumer education website. Note: An amendment is required if this website changes. [Click or tap here to enter text.](#)

2.4 Additional Consumer and Provider Education

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. In addition to the consumer education website, 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)).

In questions 2.4.1 through 2.4.5, certify by describing:

- 2.4.1 How the 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 Prekindergarten, 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, the website, and direct communications) and how information is tailored for these audiences. [Click or tap here to enter text.](#)
- 2.4.2 How does the Lead Agency provide the required information about the following programs and benefits to the parents of eligible children, the general public, and where applicable, providers? Certify by describing for each program listed below, 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.
- a. Temporary Assistance for Needy Families program: [Click or tap here to enter text.](#)
 - b. Head Start and Early Head Start programs: [Click or tap here to enter text.](#)
 - c. Low Income Home Energy Assistance Program (LIHEAP): [Click or tap here to enter text.](#)
 - d. Supplemental Nutrition Assistance Program (SNAP): [Click or tap here to enter text.](#)
 - e. Women, Infants, and Children Program (WIC) program: [Click or tap here to enter text.](#)
 - f. Child and Adult Care Food Program (CACFP): [Click or tap here to enter text.](#)
 - g. Medicaid and Children’s Health Insurance Program (CHIP): [Click or tap here to enter text.](#)
 - h. Programs carried out under IDEA Part B, Section 619 and Part C: [Click or tap here to enter text.](#)

2.4.3 Describe how the 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 and information about successful parent and family engagement. The description should include:

- what information is provided
- how the information is provided
- how the information is tailored to a variety of audiences, including:
 - parents
 - providers
 - the general public
- any partners in providing this information

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

2.4.4 Describe how information on the Lead Agency’s policies regarding the social-emotional and behavioral issues and mental health of young children, including positive behavioral intervention and support models based on research and best practices for those from birth to school age, are shared with families, providers, and the general public. At a minimum, include

- what information is provided,
- how the information is provided, and
- how information is tailored to a variety of audiences, and
- include any partners in providing this information.

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

2.4.5 Describe the 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.

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

2.5 Procedures for Providing Information on Developmental Screenings

Lead Agencies are required to provide information on developmental screenings to parents, the general public and, when applicable, child care providers. Information should include:

- Existing resources and services that the state can use in conducting developmental screenings and providing referrals to services for children who receive child care assistance.
- 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, which can include social, emotional, physical, or linguistic delays (658E(c)(2)(E)(ii)).

This information about the resources can include the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program carried out under title XIX of the Social Security Act and developmental screening services available under IDEA Part B, Section 619 and Part C, in conducting those developmental screenings and in providing referrals to services for children who receive subsidies. 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)). Information on developmental screenings, as other consumer education information, should be accessible for individuals with limited English proficiency and individuals with disabilities.

2.5.1 Certify by describing:

- a. How the 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(b)(3)).
[Click or tap here to enter text.](#)
- b. The procedures for providing information on and referring families and child care providers to the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program—carried out under Title XIX of the Social Security Act (42 U.S.C. 1396 et seq.)—and developmental screening services available under Part B, Section 619 and Part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.).
[Click or tap here to enter text.](#)
- c. How the Lead Agency gives information on developmental screenings to parents receiving a subsidy as part of the intake process. Include the information provided, ways it is provided, and any partners in this work. [Click or tap here to enter text.](#)
- 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. [Click or tap here to enter text.](#)
- e. How child care providers receive this information through training and professional development. [Click or tap here to enter text.](#)
- f. Provide the citation for this policy and procedure related to providing information on developmental screenings. [Click or tap here to enter text.](#)

2.6 Consumer Statement for Parents Receiving CCDF Funds

Lead Agencies must provide CCDF parents with a consumer statement in hard copy or electronically (such as referral to a consumer education website) that contains specific information about the child care provider they select (98.33 d). Please note that if the consumer statement is provided electronically, Lead Agencies should consider ensuring the statement is accessible to parents, including parents with limited access to the internet, and that parents have a way to contact someone to address their questions.

2.6.1 Certify by describing:

- a. How and when the Lead Agency provides parents receiving CCDF funds with a consumer statement identifying the requirements for providers and the health and safety record of the provider they have selected. [Click or tap here to enter text.](#)
- b. Certify by checking below the specific information provided to families either in hard copy or electronically. Note: The consumer statement must include the eight requirements listed in the table below.

- ☐ Health and safety requirements met by the provider
 - ☐ Licensing or regulatory requirements met by the provider
 - ☐ Date the provider was last inspected
 - ☐ Any history of violations of these requirements
 - ☐ Any voluntary quality standards met by the provider
 - ☐ How CCDF subsidies are designed to promote equal access
 - ☐ How to submit a complaint through the hotline
 - ☐ How to contact a local resource and referral agency or other community-based organization to receive assistance in finding and enrolling in quality child care
- c. Provide a link to a sample consumer statement or a description if a link is not available.
[Click or tap here to enter text.](#)

3 Provide Stable Child Care Financial Assistance to Families

In providing child care assistance to families, Lead Agencies are required to implement these policies and procedures: a minimum 12-month eligibility and redetermination period, a process to account for irregular fluctuations in earnings, a policy ensuring that families' work schedules are not disrupted by program requirements, policies to provide for a job search of no fewer than 3 months if the Lead Agency exercises the option to discontinue assistance, and policies for the graduated phase-out of assistance. In addition, the Lead Agency is also required to describe procedures for the enrollment of children experiencing homelessness and, if applicable, children in foster care.

Note: Lead Agencies are not prohibited from establishing policies that extend eligibility beyond 12 months to align program requirements. For example, Lead Agencies can allow children enrolled in Head Start, Early Head Start, state or local Prekindergarten, and other collaborative programs to finish the program year or, similarly, parents enrolled in school can have eligibility extended to allow parents to finish their school year. This type of policy promotes continuity for families receiving services through multiple benefit programs.

In this section, Lead Agencies will identify how they define eligible children and families and how the Lead Agency improves access for vulnerable children and families. This section also addresses the policies that protect working families and determine a family's contribution to the child care payment.

Note: When asked for citations, responses can include state statute, regulations, administrative rules, policy manuals or policy issuances. See the Introduction on page 4 for more detail.

3.1 Eligible Children and Families

At the time when eligibility is determined or redetermined, children must (1) be younger than age 13; (2) reside with a family whose income does not exceed 85 percent of the state's median income for a family of the same size and whose family assets do not exceed \$1,000,000 (as certified by a member of said family); and (3)(a) reside with a parent or parents who are working or attending a job training or educational program or (b) receives, or needs to receive,

protective services and resides with a parent or parents not described in (3)(a) (658P(4); 98.20(a)).

3.1.1 Eligibility criteria: Age of children served

- a. The CCDF program serves children from [Click or tap here to enter text.](#) (weeks/months/years) through [Click or tap here to enter text.](#) years (under age 13). *Note:* Do not include children incapable of self-care or under court supervision, who are reported below in (b) and (c).
- b. Does the Lead Agency allow CCDF-funded child care for children ages 13 and older but below age 19 who are physically and/or mentally incapable of self-care (658E(c)(3)(B); 658P(3))?
☐ No
☐ Yes, and the upper age is [Click or tap here to enter text.](#) (may not equal or exceed age 19). If yes, provide the Lead Agency definition of physical and/or mental incapacity: [Click or tap here to enter text.](#)
- c. Does the Lead Agency allow CCDF-funded child care for children ages 13 and older but below age 19 who are under court supervision ((658P(3); 658E(c)(3)(B)))?
☐ No
☐ Yes, and the upper age is [Click or tap here to enter text.](#) (may not equal or exceed age 19).
- d. How does the Lead Agency define the following eligibility terms?
 - i. “residing with”: [Click or tap here to enter text.](#)
 - ii. “in loco parentis”: [Click or tap here to enter text.](#)

3.1.2 Eligibility criteria: Reason for care

- a. How does the Lead Agency define the following terms for the purposes of determining CCDF eligibility?
 - i. Define what is accepted as “Working” (including activities and any hour requirements): [Click or tap here to enter text.](#)
 - ii. Define what is accepted as “Job training” (including activities and any hour requirements): [Click or tap here to enter text.](#)
 - iii. Define what is accepted as “Education” (including activities and any hour requirements): [Click or tap here to enter text.](#)
 - iv. Define what is accepted as “Attending” (a job training or educational program) (e.g. travel time, hours required for associated activities such as study groups, lab experiences, time for outside class study or completion of homework): [Click or tap here to enter text.](#)
- b. Does the Lead Agency allow parents to qualify for CCDF assistance on the basis of education and training without additional work requirements?
☐ Yes
☐ No. If no, describe the additional work requirements. [Click or tap here to enter text.](#)
- c. Does the Lead Agency provide child care to children who receive, or need to receive protective services?
☐ No
☐ Yes. If yes:

- i. Provide the Lead Agency’s definition of “protective services”: [Click or tap here to enter text.](#)

Note: Federal requirements allow other vulnerable children identified by the Lead Agency not formally in child protection to be included in the Lead Agency’s definition of protective services for CCDF purposes. A 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.

- ii. Are children in foster care considered to be in protective services for the purposes of eligibility at determination?
- ☐ No
☐ Yes
- iii. Does the 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 (98.20 (a)(3)(ii)(A))?
- ☐ No
☐ Yes
- iv. Does the Lead Agency waive the eligible activity (e.g., work, job training, education, etc.) requirements for cases in which children receive, or need to receive, protective services on a case-by-case basis?
- ☐ No
☐ Yes
- v. Does the Lead Agency provide respite care to custodial parents of children in protective services?
- ☐ No
☐ Yes

3.1.3 Eligibility criteria: Family Income Limits

Note: The questions in 3.1.3 relate to initial determination. Redetermination is addressed in 3.1.8 and 3.2.5.

- a. How does the Lead Agency define “income” for the purposes of eligibility at the point of initial determination? [Click or tap here to enter text.](#)
- b. Provide the CCDF income eligibility limits in the table below **at the time of initial determination**. Complete columns (i) and (ii) based on maximum eligibility at initial entry into CCDF. Complete columns (iii) and (iv) *only if* the Lead Agency is using income eligibility limits lower than 85 percent of the current state median income (SMI) at the initial eligibility determination point. If the income eligibility limits are not statewide, please complete the chart below using the most populous area of the state or territory (defined as the area serving highest number of CCDF children) and respond to c. below the table.

	(i)	(ii)	(iii)	(iv)
Family Size	100% of SMI (\$/Month)	85% of SMI (\$/Month) [Multiply (a) by 0.85]	(IF APPLICABLE) (\$/Month) Maximum Initial or First Tier Income Limit (or Threshold) if Lower than 85% of Current SMI	(IF APPLICABLE) (% of SMI) [Divide (iii) by (i), multiply by 100] Income Level if Lower than 85% of Current SMI
1				
2				
3				
4				
5				

- c. If the income eligibility limits are not statewide, describe how many jurisdictions set their own income eligibility limits and provide the income limit ranges across the jurisdictions (e.g. range from [lowest limit] to [highest limit])(98.16(i)(3)). [Click or tap here to enter text.](#)
- d. SMI source and year. [Click or tap here to enter text.](#)

Reminder: Income limits must be established and reported in terms of current SMI based on the most recent data published by the Bureau of the Census (98.20(a)(2)(i)) even if the federal poverty level is used in implementing the program. SMI guidelines are available at: https://www.acf.hhs.gov/ocs/resource/liheap-im-2020-02-state-median-income-estimates-for-optional-use-fy2020-and-mandatory-use-fy2021?utm_medium=rss .

- e. Identify the most populous area of the state (defined as the area serving the highest number of CCDF children) used to complete the chart in 3.1.3 b. [Click or tap here to enter text.](#)
- f. What is the effective date for these eligibility limits reported in 3.1.3 b?
[Click or tap here to enter text.](#)
- g. Provide the citation or link, if available, for the income eligibility limits.
[Click or tap here to enter text.](#)

3.1.4 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)).

- a. Describe how the family member certifies that family assets do not exceed \$1,000,000 (e.g., a checkoff on the CCDF application). [Click or tap here to enter text.](#)
- b. Does the Lead Agency waive the asset limit on a case-by-case basis for families defined as receiving, or in need of, protective services?
 - ☐ No
 - ☐ Yes. If yes, describe the policy or procedure and provide citation:
[Click or tap here to enter text.](#)

3.1.5 Describe any additional eligibility conditions or rules, which are applied by the Lead Agency (98.20(b)) during:

- a. eligibility determination. [Click or tap here to enter text.](#)
- b. eligibility redetermination. [Click or tap here to enter text.](#)

3.1.6 Lead Agencies are required to take into consideration children's development and promote continuity of care when authorizing child care services (98.21(f); 98.16(h)(6)). Lead Agencies are reminded that authorized child care services are not required to be strictly based on the work, training, or education schedule of the parent (98.21 (g)). Check the approaches, if applicable, that the Lead Agency uses when considering children's development and promoting continuity of care when authorizing child care services.

- ☐ a. Coordinating with Head Start, Prekindergarten, other early learning programs, or [school-age programs](#) to create a package of arrangements that accommodates parents' work schedules
- ☐ b. Inquiring about whether the child has an Individualized Education Program (IEP) or Individual Family Services Plan (IFSP)
- ☐ c. Establishing minimum eligibility periods longer than 12 months
- ☐ d. Using cross-enrollment or referrals to other public benefits
- ☐ e. Working with IDEA Part B, Section 619 and Part C staff to explore how services included in a child's IEP or IFSP can be supported and/or provided onsite and in collaboration with child care services
- ☐ f. [Working with entities that may provide other child support services.](#)
- ☐ g. Providing more intensive case management for families with children with multiple risk factors
- ☐ h. Implementing policies and procedures that promote universal design to ensure that activities and environments are accessible to all children, including children with sensory, physical, or other disabilities
- ☐ i. Other. Describe: [Click or tap here to enter text.](#)

3.1.7 Fluctuation in earnings.

Lead Agencies are required to demonstrate how their processes for initial determination and redetermination take into account irregular fluctuations in earnings (658E(c)(2)(N)(i)(II) and 98.21(c)). The Lead Agency must put in place policies that ensure that temporary increases in income, including temporary increases that can result in a monthly income exceeding 85 percent of state median income (SMI) (calculated on a monthly basis) from seasonal employment or other temporary work schedules, do not affect eligibility or family co-payments (98.21(c)). Check the processes that the Lead Agency uses to take into account irregular fluctuations in earnings.

- ☐ a. Average the family's earnings over a period of time (e.g. 12 months).
- ☐ b. Request earning statements that are most representative of the family's monthly income.

- ☐ c. Deduct temporary or irregular increases in wages from the family's standard income level.
- ☐ d. Other. Describe: [Click or tap here to enter text.](#)

3.1.8 Lead Agencies are required to have procedures for documenting and verifying that children receiving CCDF funds meet eligibility criteria at the time of eligibility determination and redetermination (98.68(c)). Lead Agencies should note that there are no federal requirements for specific documentation or verification procedures. Check the information that the Lead Agency documents and verifies at initial determination and redetermination and describe, at a minimum, what information is required and how often. Check all that apply.

Required at Initial Determination	Required at Redetermination	Information and Description
		a. Applicant identity. Describe: Click or tap here to enter text.
		b. Applicant's relationship to the child. Describe: Click or tap here to enter text.
		c. Child's information for determining eligibility (e.g., identity, age, citizen/immigration status). Describe: Click or tap here to enter text.
		d. Work. Describe: Click or tap here to enter text.
		e. Job training or educational program. Describe: Click or tap here to enter text.
		f. Family income. Describe: Click or tap here to enter text.
		g. Household composition. Describe: Click or tap here to enter text.
		h. Applicant residence. Describe: Click or tap here to enter text.
		i. Other. Describe: Click or tap here to enter text.

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

- ☐ a. Time limit for making eligibility determinations. Describe length of time: [Click or tap here to enter text.](#)
- ☐ b. Track and monitor the eligibility determination process
- ☐ c. Other. Describe: [Click or tap here to enter text.](#)
- ☐ d. None

3.1.10 Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement.

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)).

Lead Agencies must coordinate with TANF programs to ensure that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the state/territory TANF agency in accordance with Section 407(e)(2) of the Social Security Act.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care.

Note: The TANF agency, not the CCDF 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.

- a. Identify the TANF agency that established these criteria or definitions:
[Click or tap here to enter text.](#)
- b. Provide the following definitions established by the TANF agency:
 - i. "Appropriate child care": [Click or tap here to enter text.](#)
 - ii. "Reasonable distance": [Click or tap here to enter text.](#)
 - iii. "Unsuitability of informal child care": [Click or tap here to enter text.](#)
 - iv. "Affordable child care arrangements": [Click or tap here to enter text.](#)
- c. How are parents who receive TANF benefits informed about the exception to the individual penalties associated with the TANF work requirements?
 - ☐ i. In writing
 - ☐ ii. Verbally
 - ☐ iii. Other. Describe: [Click or tap here to enter text.](#)
- d. Provide the citation for the TANF policy or procedure: [Click or tap here to enter text.](#)

3.2 Family Contribution to Payments

Lead Agencies are required to establish and periodically revise a sliding-fee scale for CCDF families 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)). In addition to income and the size of the family, the Lead Agency may use other factors when determining family contributions/co-payments. Lead Agencies, however, may NOT use cost of care or amount of subsidy payment in determining co-payments (98.45(k)(2)). Questions 3.2.1 through 3.2.4 address co-payments during the initial/entry-eligibility period.

To help families transition off child care assistance, Lead Agencies may gradually adjust co-pay amounts for families determined to be eligible under a graduated phase-out. Question 3.2.5 addresses co-payments during the graduated phase-out period.

3.2.1 Provide the CCDF co-payments in the chart below according to family size for **one** child in care.

- a. Complete the chart based on the most populous area of the state or territory (defined as the area serving the highest number of CCDF children, aligned to the response provided in 3.1.3 e).

	(a)	(b)	(c)	(d)	(e)	(f)
Family size	Lowest initial or First Tier Income Level where family is first charged co-pay (greater than \$0)	What is the monthly co-payment for a family of this size based on the income level in (a)?	What percentage of income is this co-payment in (b)?	Highest initial or First Tier Income Level before a family is no longer eligible.	What is the monthly co-payment for a family of this size based on the income level in (d)?	What percentage of income is this co-payment in (d)?
1						
2						
3						
4						
5						

- b. If the sliding-fee scale is not statewide (i.e., county-administered states):

- ☐ N/A. Sliding fee scale is statewide
- Identify the most populous area of the state (defined as the area serving the highest number of CCDF children) used to complete the chart above.
[Click or tap here to enter text.](#)
- Describe how many jurisdictions set their own sliding-fee scale (98.16(i)(3)).
[Click or tap here to enter text.](#)

- c. What is the effective date of the sliding-fee scale(s)? [Click or tap here to enter text.](#)

- d. Provide the link(s) to the sliding-fee scale: [Click or tap here to enter text.](#)

3.2.2 How will the family's contribution be calculated, and to whom will it be applied? Check all that apply under a. or b.

- ☐ a. The fee is a dollar amount and (check all that apply):
- ☐ i. The fee is per child, with the same fee for each child.
 - ☐ ii. The fee is per child and is discounted for two or more children.
 - ☐ iii. The fee is per child up to a maximum per family.
 - ☐ iv. No additional fee is charged after a certain number of children.
 - ☐ v. The fee is per family.

- ☐ vi. The contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1). Describe: [Click or tap here to enter text.](#)
- ☐ vii. Other. Describe: [Click or tap here to enter text.](#)
- ☐ b. The fee is a percent of income and (check all that apply):
 - ☐ i. The fee is per child, with the same percentage applied for each child.
 - ☐ ii. The fee is per child, and a discounted percentage is applied for two or more children.
 - ☐ iii. The fee is per child up to a maximum per family.
 - ☐ iv. No additional percentage is charged after a certain number of children.
 - ☐ v. The fee is per family.
 - ☐ vi. The contribution schedule varies because it is set locally/regionally (as indicated in 1.2.1). Describe: [Click or tap here to enter text.](#)
 - ☐ vii. Other. Describe: [Click or tap here to enter text.](#)
- 3.2.3 Does the Lead Agency use other factors in addition to income and family size to determine each family's co-payment (658E(c)(3)(B))? Reminder: Lead Agencies may NOT use cost of care or amount of subsidy payment in determining co-payments (98.45(k)(2)).
 - ☐ No
 - ☐ Yes. If yes, check and describe those additional factors below.
 - ☐ a. Number of hours the child is in care. Describe: [Click or tap here to enter text.](#)
 - ☐ b. Lower co-payments for a higher quality of care, as defined by the state/territory. Describe: [Click or tap here to enter text.](#)
 - ☐ c. Other. Describe: [Click or tap here to enter text.](#)
- 3.2.4 The 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 (98.45(k)) or for families who are receiving or needing to receive protective services, on a case-by-case basis, as determined for purposes of CCDF eligibility, or who meet other criteria established by the Lead Agency (98.45(k)(4)). Does the Lead Agency waive family contributions/co-payments for any of the following? Check all that apply.
 - ☐ No, the Lead Agency does not waive family contributions/co-payments.
 - ☐ Yes, the Lead Agency waives family contributions/co-payments. If yes, identify and describe which families have their family contributions/co-payments waived.
 - ☐ a. Families with an income at or below the Federal poverty level for families of the same size. Describe the policy and provide the policy citation.
[Click or tap here to enter text.](#)
 - ☐ b. Families who are receiving or needing to receive protective services on a case-by-case basis, as determined by the Lead Agency for purposes of CCDF eligibility.

Describe the policy and provide the policy citation. [Click or tap here to enter text.](#)

- ☐ c. Families meeting other criteria established by the Lead Agency. Describe the policy. [Click or tap here to enter text.](#)

3.2.5 Policies and processes for graduated phase-out of assistance at redetermination.

Lead Agencies that establish initial family income eligibility below 85 percent of state median income (SMI) are required to provide a graduated phase-out of assistance for families whose income has increased above the state's initial income threshold at the time of redetermination but remains below the federal threshold of 85 percent of the state median income (98.21(b)(1)). Providing a graduated phase-out promotes continuity by allowing for wage growth, allows for a tapered transition out of the child care subsidy program as income increases, and supports long-term self-sufficiency for families.

Lead Agencies that provide a graduated phase-out must implement a two-tiered eligibility threshold, with the second tier of eligibility (used at the time of eligibility redetermination) to be set at:

- (i) 85 percent of SMI for a family of the same size.
- (ii) An amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold that:
 - (A) Takes into account the typical household budget of a low-income family.
 - (B) Provides justification that the second eligibility threshold is:
 - (1) Sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability.
 - (2) Reasonably allows a family to continue accessing child care services without unnecessary disruption.

At redetermination, a child shall be considered eligible if his or her parents are working or attending a job training or educational program even if their income exceeds the Lead Agency's income limit to initially qualify for assistance as long as their income does not exceed the second tier of eligibility (98.21(a); 98.21(b)(1)). Note that once deemed eligible, the family shall be considered eligible for a full minimum 12-month eligibility period, even if their income exceeds the second tier of eligibility during the eligibility period, as long as it does not exceed 85 percent of SMI.

A family eligible for services via the graduated phase-out of assistance is considered eligible under the same conditions as other eligible families with the exception of the co-payment restrictions, which do not apply to a graduated phase-out. To help families transition from child care assistance, Lead Agencies may gradually adjust co-pay amounts for families whose children are determined eligible under a graduated phase-out and may require additional reporting on changes in family income. However, Lead Agencies must still ensure that any additional reporting requirements do not constitute an undue burden on families.

- a. Check and describe the option that best identifies the Lead Agency's policies and procedures regarding the graduated phase-out of assistance.
 - ☐ N/A. The Lead Agency sets its initial eligibility threshold at 85 percent of SMI and therefore, is not required to provide a graduated phase-out period. (If checked, skip to subsection 3.3)

- ☐ The Lead Agency sets the second tier of eligibility at 85 percent of SMI.
 - A. Describe the policies and procedures. [Click or tap here to enter text.](#)
 - B. Provide the citation for this policy or procedure. [Click or tap here to enter text.](#)
- ☐ The Lead Agency sets the second tier of eligibility at an amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold.
 - A. Provide the income level for the second tier of eligibility for a family of three: [Click or tap here to enter text.](#)
 - B. Describe how the second eligibility threshold:
 - 1. Takes into account the typical household budget of a low-income family: [Click or tap here to enter text.](#)
 - 2. Is sufficient to accommodate increases in family income over time that are typical for low-income workers and that promote and support family economic stability: [Click or tap here to enter text.](#)
 - 3. Reasonably allows a family to continue accessing child care services without unnecessary disruption: [Click or tap here to enter text.](#)
 - 4. Provide the citation for this policy or procedure related to the second eligibility threshold: [Click or tap here to enter text.](#)
- b. To help families transition from assistance, does the Lead Agency gradually adjust co-payments for families eligible under the graduated phase-out period?
 - ☐ No
 - ☐ Yes
 - i. If yes, describe how the Lead Agency gradually adjusts co-payments for families under a graduated phase-out: [Click or tap here to enter text.](#)
 - ii. If yes, does the Lead Agency require additional reporting requirements during the graduated phase-out period? (Note: Additional reporting requirements are also discussed in section 3.4.3 of the Plan.)
 - ☐ No
 - ☐ Yes. Describe: [Click or tap here to enter text.](#)

3.3 Increasing Access for Vulnerable Children and Families

Lead Agencies are required to give priority for child care assistance to children with special needs, which can include vulnerable populations, in families with very low incomes, and to children experiencing homelessness (658E(c)(3)(B); 98.46(a)). The prioritization of CCDF assistance services is not limited to eligibility determination. Other ways to give priority may include the establishment of a waiting list or the ranking of eligible families in priority order to be served.

Note: 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).

3.3.1 Describe how the Lead Agency defines:

- a. "Children with special needs": [Click or tap here to enter text.](#)
- b. "Families with very low incomes": [Click or tap here to enter text.](#)

3.3.2 Identify how the Lead Agency will prioritize or target child care services for the following children and families:

Note: If waiving co-payments is checked, Lead Agencies will need to provide further information in question 3.2.4. Paying higher rates for accessing higher quality care is addressed in 4.3.3 and using grants or contracts to reserve spots is addressed in 4.1.6.

- a. Complete the table below to indicate how the identified populations are prioritized or targeted.

Population Prioritized	Prioritize for enrollment in child care services	Serve without placing on waiting list	Waive co-payments (on a case-by-case basis). As described in 3.2.4.	Pay higher rate for access to higher quality care	Using grants or contracts to reserve spots
Children with special needs	☐	☐	☐	☐	☐
Families with very low incomes	☐	☐	☐	☐	☐
Children experiencing homelessness, as defined by the CCDF	☐	☐	☐	☐	☐
Families receiving TANF, those attempting to transition off TANF, and those at risk of becoming dependent on TANF (98.16(i)(4))	☐	☐	☐	☐	☐

- b. If applicable, identify and describe any other ways the identified populations in the table above are prioritized or targeted. [Click or tap here to enter text.](#)

- 3.3.3 List and define any other priority groups established by the Lead Agency.
[Click or tap here to enter text.](#)
- 3.3.4 Describe how the Lead Agency prioritizes services for the additional priority groups identified in 3.3.3. [Click or tap here to enter text.](#)
- 3.3.5 Lead Agencies are required to expend CCDF funds to (1) permit the enrollment (after an initial eligibility determination) of children experiencing homelessness while required documentation is obtained, (2) provide training and technical assistance to child care providers and the appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (addressed in section 6), and (3) conduct specific outreach to families experiencing homelessness(658E(c)(3); 98.51).
- a. Describe the procedures to permit the enrollment of children experiencing homelessness while required documentation is obtained. [Click or tap here to enter text.](#)
 - b. Check, where applicable, the procedures used to conduct outreach for children experiencing homelessness (as defined by CCDF Rule) and their families.
 - ☐ i. Lead Agency accepts applications at local community-based locations
 - ☐ ii. Partnerships with community-based organizations
 - ☐ iii. Partnering with homeless service providers, McKinney-Vento liaisons, and others who work with families experiencing homelessness to provide referrals to child care
 - ☐ iv. Other: [Click or tap here to enter text.](#)

Note: The Lead Agency shall pay any amount owed to a child care provider for services provided as a result of the initial eligibility determination, and any CCDF payment made prior to the final eligibility determination shall not be considered an error or improper payment (98.51(a)(1)(ii)).

- 3.3.6 Lead Agencies must establish a grace period that allows children experiencing homelessness and children in foster care to receive CCDF assistance while providing their families with a reasonable time to take any necessary actions to comply with immunization and other health and safety requirements (as described in section 5). 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)).

Note: Any payment for such a child during the grace period shall not be considered an error or improper payment (98.41(a)(1)(i)(C)(2)).

- a. 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 the state, territorial, or tribal health agency for:
 - i. Children experiencing homelessness (as defined by the CCDF Final Rule).
[Click or tap here to enter text.](#). Provide the citation for this policy and procedure.
[Click or tap here to enter text.](#)
 - ii. Children who are in foster care. [Click or tap here to enter text.](#). Provide the citation for this policy and procedure. [Click or tap here to enter text.](#)
- b. Describe how the Lead Agency coordinates with licensing agencies and other relevant state, territorial, tribal, and local agencies to provide referrals and support to help families with

children receiving services during a grace period comply with immunization and other health and safety requirements (98.41(a)(1)(i)(C)(4)). [Click or tap here to enter text.](#)

- c. Does the Lead Agency establish grace periods for other children who are not experiencing homelessness or in foster care?

☐ No

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

3.4 Continuity for Working Families

3.4.1 Minimum 12-month eligibility.

The Lead Agency is required to establish a minimum 12-month eligibility and redetermination period:

- regardless of changes in income. Lead Agencies may not terminate CCDF assistance during the minimum 12-month period if a family has an increase in income that exceeds the state's income eligibility threshold but not the federal threshold of 85 percent of state median income (SMI).
- regardless of temporary changes in participation in work, training, or educational activities (658E(c)(2)(N)(i) and (ii)).

The Lead Agency may not terminate assistance prior to the end of the minimum 12-month period if a family experiences a temporary job loss or a temporary change in participation in a training or educational activity. Any temporary change cannot have a time limit (e.g. 60 days, 90 days, etc.). A temporary change in eligible activity includes, at a minimum:

1. any time-limited absence from work for an employed parent due to such reasons as the need to care for a family member or an illness
 2. any interruption in work for a seasonal worker who is not working
 3. any student holiday or break for a parent participating in a training or educational program
 4. any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program
 5. any other cessation of work or attendance at a training or educational program that does not exceed 3 months or a longer period of time established by the Lead Agency
 6. a child turning 13 years old during the minimum 12-month eligibility period (except as described in 3.1.1)
 7. any changes in residency within the state, territory, or tribal service area
- a. Describe the Lead Agency's policies and procedures related to providing a minimum 12-month eligibility period at initial eligibility determination and redetermination and provide a citation for these policies or procedures. [Click or tap here to enter text.](#)
- b. Describe and provide the citation for each of the minimum required elements listed below that are included in the Lead Agency's definition of "temporary change".

Minimum Required Element	Citation
☐ i. Any time-limited absence from work for an employed parent due to such reasons as the need to care for a family	Click or tap here to enter text.

Minimum Required Element	Citation
member or an illness. Describe or define your Lead Agency's policy: Click or tap here to enter text.	
☐ ii. Any interruption in work for a seasonal worker who is not working. Describe or define your Lead Agency's policy: Click or tap here to enter text.	Click or tap here to enter text.
☐ iii. Any student holiday or break for a parent participating in a training or educational program. Describe or define your Lead Agency's policy: Click or tap here to enter text.	Click or tap here to enter text.
☐ iv. Any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program. Describe or define your Lead Agency's policy: Click or tap here to enter text.	Click or tap here to enter text.
☐ v. Any other cessation of work or attendance at a training or educational program that does not exceed 3 months or a longer period of time established by the Lead Agency. Describe or define your Lead Agency's policy: Click or tap here to enter text.	Click or tap here to enter text.
☐ vi. A child turning 13 years old during the minimum 12-month eligibility period (except as described in 3.1.1). Describe or define your Lead Agency's policy: Click or tap here to enter text.	Click or tap here to enter text.
☐ vii. Any changes in residency within the state, territory, or tribal service area. Describe or define your Lead Agency's policy: Click or tap here to enter text.	Click or tap here to enter text.

- c. Provide any other elements included in the state's definition of "temporary change", including those implemented during the pandemic, and provide the citation. [Click or tap here to enter text.](#)

3.4.2 Continuing assistance for "job search" and a Lead Agency's option to discontinue assistance during the minimum 12-month eligibility period.

Lead Agencies have the option, but are not required, to discontinue assistance during the minimum 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, otherwise known as a parent's eligible activity.

If the Lead Agency chooses the option to discontinue assistance due to a parent's non-temporary loss or cessation of eligible activity, it must continue assistance at least at the same level for a period of not fewer than 3 months after each such loss or cessation. This time period allows the parent to engage in a job search and to resume work or resume attendance in a job training or educational program. At the end of the minimum 3-month period of continued assistance, if the parent has engaged in a qualifying work, training, or educational program activity with an income below 85 percent of state median income (SMI), assistance cannot be

terminated, and the child must continue receiving assistance until the next scheduled redetermination or, at the Lead Agency option, for an additional minimum 12-month eligibility period.

- a. Does the Lead Agency consider seeking employment (engaging in a job search) an eligible activity at initial eligibility determination (at application) and at the minimum 12-month eligibility redetermination? (Note: If yes, Lead Agencies must provide a minimum of three months of job search.)
- ☐ No
 - ☐ Yes. If yes, describe the policy or procedure (including any differences in eligibility at initial eligibility determination vs. redetermination of eligibility):
[Click or tap here to enter text.](#)
- b. Does the Lead Agency discontinue assistance during the minimum 12-month eligibility period due to a parent's non-temporary loss or cessation of eligible activity and offer a minimum 3-month period to allow parents to engage in a job search and to resume participation in an eligible activity?
- ☐ No, the state/territory does not 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.
 - ☐ Yes, the Lead Agency discontinues assistance during the 12-month eligibility period due to a parent's *non-temporary* loss of work or cessation of eligible activity and provides a minimum 3-month period of job search. If yes:
 - i. Provide a summary describing the Lead Agency's policies and procedures for discontinuing assistance due to a parent's non-temporary change: [Click or tap here to enter text.](#)
 - ii. Describe what specific actions/changes trigger the job-search period after each such loss or cessation: [Click or tap here to enter text.](#)
 - iii. How long is the job-search period (must be at least 3 months)?
[Click or tap here to enter text.](#)
 - iv. Provide the citation for this policy or procedure. [Click or tap here to enter text.](#)
- c. The Lead Agency may discontinue assistance prior to the next minimum 12-month redetermination in the following limited circumstances. Check and describe any circumstances in which the Lead Agency chooses to discontinue assistance prior to the next minimum 12-month redetermination. Check all that apply.
- ☐ i. Not applicable
 - ☐ ii. Excessive unexplained absences despite multiple attempts by the Lead Agency or designated entity to contact the family and provider, including the prior notification of a possible discontinuation of assistance.
 - A. Define the number of unexplained absences identified as excessive:
[Click or tap here to enter text.](#)
 - B. Provide the citation for this policy or procedure: [Click or tap here to enter text.](#)
 - ☐ iii. A change in residency outside of the state, territory, or tribal service area. Provide the citation for this policy or procedure: [Click or tap here to enter text.](#)

- ☐ iv. Substantiated fraud or intentional program violations that invalidate prior determinations of eligibility. Describe the violations that lead to discontinued assistance and provide the citation for this policy or procedure.

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

3.4.3 Change reporting during the minimum 12-month eligibility period.

The Lead Agency must describe the requirements for parents to report changes in circumstances during the 12-month eligibility period and describe efforts to ensure that such requirements do not place an undue burden on eligible families, which could impact the continuity of care for children and stability for families receiving CCDF services (98.21 (e)).

Note: Responses should exclude reporting requirements for a graduated phase-out, which were described in question 3.2.5 b.

Families are required to report a change to the Lead Agency at any time during the 12-month eligibility period if the family's income exceeds 85 percent of the state median income, taking into account irregular fluctuations in income (98.21(e)(1)). If the Lead Agency chooses the option to terminate assistance, as described in section 3.4.2 of the Plan, they may require families to report a non-temporary change in work, training or educational activities (otherwise known as a parent's eligible activity).

- a. Does the Lead Agency require families to report a non-temporary change in a parent's eligible activity?

- ☐ No
- ☐ Yes

- b. Any additional reporting requirements during the minimum 12-month eligibility period must be limited to items that impact a family's eligibility (e.g., income changes over 85 percent of state median income (SMI)) or that impact the Lead Agency's ability to contact the family or pay the child care providers (e.g., a family's change of address, a change in the parent's choice of child care provider).

Check and describe any additional reporting requirements required by the Lead Agency during the minimum 12-month eligibility period. Check all that apply.

- ☐ i. Additional changes that may impact a family's eligibility during the minimum 12-month period. Describe: [Click or tap here to enter text.](#)
- ☐ ii. Changes that impact the Lead Agency's ability to contact the family. Describe: [Click or tap here to enter text.](#)
- ☐ iii. Changes that impact the Lead Agency's ability to pay child care providers. Describe: [Click or tap here to enter text.](#)

- c. Any additional reporting requirements that the Lead Agency chooses to require from parents during the minimum 12-month eligibility period, shall not require an additional office visit. In addition, the Lead Agency must offer a range of notification options to accommodate families. How does the Lead Agency allow 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.

- ☐ i. Phone

- ☐ ii. Email
- ☐ iii. Online forms
- ☐ iv. Extended submission hours
- ☐ v. Postal mail
- ☐ vi. Fax
- ☐ vii. In-person submission
- ☐ viii. Other. Describe: [Click or tap here to enter text.](#)

- d. Families must have the option to voluntarily report changes on an ongoing basis during the minimum 12-month eligibility period.

Lead Agencies are required to act on information reported by the family if it will reduce the family's co-payment or increase the family's subsidy. Lead Agencies are prohibited from acting on information reported by the family that would reduce the family's subsidy unless the information reported indicates that the family's income exceeds 85 percent of SMI after considering irregular fluctuations in income or, at the option of the Lead Agency, the family has experienced a non-temporary change in eligible activity.

- i. Describe any other changes that the Lead Agency allows families to report.
[Click or tap here to enter text.](#)
- ii. Provide the citation for this policy or procedure. [Click or tap here to enter text.](#)

3.4.4 Prevent the disruption of employment, education, or job training activities.

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

Examples include developing strategies to inform families and their providers of an upcoming redetermination and the information that will be required of the family, pre-populating subsidy renewal forms, having parents confirm that the information is accurate, and/or asking only for the information necessary to make an eligibility redetermination. In addition, states and territories can offer a variety of family-friendly methods for submitting documentation for eligibility redetermination that considers the range of needs for families in accessing support (e.g., use of languages other than English, access to transportation, accommodation of parents working non-traditional hours).

- a. Identify, where applicable, the Lead Agency's procedures and policies to ensure that parents (especially parents receiving TANF program funds) do not have their employment, education, or job training unduly disrupted to comply with the state/territory's or designated local entity's requirements for the redetermination of eligibility. Check all that apply.
- ☐ i. Advance notice to parents of pending redetermination
 - ☐ ii. Advance notice to providers of pending redetermination
 - ☐ iii. Pre-populated subsidy renewal form
 - ☐ iv. Online documentation submission
 - ☐ v. Cross-program redeterminations

- ☐ vi. Extended office hours (evenings and/or weekends)
- ☐ vii. Consultation available via phone
- ☐ viii. Other: [Click or tap here to enter text.](#)

4 Ensure Equal Access to Child Care for Low-Income Children

A core purpose of CCDF is to promote parental choice and to empower working parents to make their own decisions regarding the child care services that best suit their family's needs. Parents have the option to choose from center-based care, family child care, or care provided in the child's own home. In supporting parental choice, the Lead Agencies must ensure that families receiving CCDF funding have the opportunity to choose from the full range of eligible child care settings and must provide families with equal access to child care that is comparable to that of non-CCDF families. Lead Agencies must employ strategies to increase the supply and to improve the quality of child care services, especially in underserved areas. In addition to generally building the supply of child care for all families, this effort also supports equal access for CCDF eligible children to the priced child care market.

This section addresses strategies that the Lead Agency uses to promote parental choice, ensure equal access, and increase the supply of child care. Note: In responding to questions in this section, the Office of Child Care (OCC) recognizes that each state/territory identifies and defines its own categories and types of care. The OCC does not expect states/territories to change their definitions to fit the CCDF-defined categories and types of care. For these questions, provide responses that closely match the CCDF categories of care.

Note: When asked for citations, responses can include state statute, regulations, administrative rules, policy manuals or policy issuances. See the Introduction on page 4 for more detail.

4.1 Maximize Parental Choice and Implement Supply Building Mechanisms

The parent(s) of each eligible child who receive(s) or is offered financial assistance for child care services has the option of either receiving a child care certificate or, if available, enrolling their child with a provider that has a grant or contract for providing child care services (658E(c)(2)(A); 98.30(a)). Even if a parent chooses to enroll their child with a provider who has a grant or contract, the parent will select the provider, to the extent practicable. If a parent chooses to use a certificate, the Lead Agency shall provide information to the parent on the range of provider options, including care by sectarian providers and relatives. Lead Agencies must require providers chosen by families to meet health and safety standards and has the option to require higher standards of quality. Lead Agencies are reminded that any policies and procedures should not restrict parental access to any type of care or provider (e.g. center care, home care, in-home care, for-profit provider, non-profit provider, or faith-based provider, etc.) (98.15 (a)(5)).

- 4.1.1 Describe the child care certificate, including when it is issued to parents (before or after the parent has selected a provider) and what information is included on the certificate (98.16 (q)). [Click or tap here to enter text.](#)
- 4.1.2 Identify how the parent is informed that the child care certificate allows the option to choose from a variety of child care categories, such as private, not-for-profit, faith-based providers; centers; FCC homes; or in-home providers (658E(c)(2)(A)(i); 658P(2); 658Q). Check all that apply.
- ☐ a. Certificate provides information about the choice of providers
 - ☐ b. Certificate provides information about the quality of providers
 - ☐ c. Certificate is not linked to a specific provider, so parents can choose any provider
 - ☐ d. Consumer education materials are provided on choosing child care
 - ☐ e. Referrals provided to child care resource and referral agencies
 - ☐ f. Co-located resource and referral staff in eligibility offices
 - ☐ g. Verbal communication at the time of the application
 - ☐ h. Community outreach, workshops, or other in-person activities
 - ☐ i. Other. Describe: [Click or tap here to enter text.](#)
- 4.1.3 A core principle of CCDF is that families receiving CCDF-funded child care should have equal access to child care that is comparable to that of non-CCDF families (658E(c)(4)(A) and 98.45(a)).
- a. Describe how parents have access to the full range of providers eligible to receive CCDF: [Click or tap here to enter text.](#)
 - b. Describe state data on the extent to which eligible child care providers participate in the CCDF system: [Click or tap here to enter text.](#)
 - c. Identify any barriers to provider participation, including barriers related to payment rates and practices – including for family child care and in-home providers - based on provider feedback and reports to the Lead Agency: [Click or tap here to enter text.](#)
- 4.1.4 Certify by describing the 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)). [Click or tap here to enter text.](#)
- 4.1.5 The Lead Agency must allow for in-home care (i.e., care provided in the child’s own home) but may limit its use (98.16(i)(2)). Will the Lead Agency limit the use of in-home care in any way?
- ☐ No
 - ☐ Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all that apply.
 - ☐ a. Restricted based on the minimum number of children in the care of the provider to meet the Fair Labor Standards Act (minimum wage) requirements. Describe: [Click or tap here to enter text.](#)

- ☐ b. Restricted based on the provider meeting a minimum age requirement. Describe: [Click or tap here to enter text.](#)
- ☐ c. Restricted based on the hours of care (i.e., certain number of hours, non-traditional work hours). Describe: [Click or tap here to enter text.](#)
- ☐ d. Restricted to care by relatives. (A relative provider must be at least 18 years of age based on the definition of eligible child care provider (98.2)). Describe: [Click or tap here to enter text.](#)
- ☐ e. Restricted to care for children with special needs or a medical condition. Describe: [Click or tap here to enter text.](#)
- ☐ f. Restricted to in-home providers that meet additional health and safety requirements beyond those required by CCDF. Describe: [Click or tap here to enter text.](#)
- ☐ g. Other. Describe: [Click or tap here to enter text.](#)

4.1.6 Child care services available through grants or contracts.

- a. In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots (658A(b)(1))? Note: Do not check “yes” if every provider is simply required to sign an agreement to be paid in the certificate program.
 - ☐ No. If no, skip to 4.1.7
 - ☐ Yes, in some jurisdictions but not statewide. If yes, describe how many jurisdictions use grants or contracts for child care slots. [Click or tap here to enter text.](#)
 - ☐ Yes, statewide. If yes, describe:
 - i. How the Lead Agency ensures that parents who enroll with a provider who has a grant or contract have choices when selecting a provider: [Click or tap here to enter text.](#)
 - ii. The entities that receive contracts (e.g., shared services alliances, CCR&R agencies, FCC networks, community-based agencies, child care providers) and how grants or contracts are promoted by the Lead Agency: [Click or tap here to enter text.](#)
 - iii. How rates for contracted slots are set through grants and contracts and if they are viewed by providers as a vehicle for stabilizing payments. [Click or tap here to enter text.](#)
- b. Will the Lead Agency use grants or contracts for direct child care services to increase the supply or quality of specific types of care?
 - ☐ No
 - ☐ Yes. If yes, does the Lead Agency use grants or contracts to increase the supply and/or quality of child care programs serving the populations below? Check all that apply.

<i>Grants or Contracts are used in Child Care Programs that Serve</i>	<i>To increase the supply of care</i>	<i>To increase the quality of care</i>
i. Children with disabilities	☐	☐
ii. Infants and toddlers	☐	☐
iii. School-age children	☐	☐
iv. Children needing non-traditional hour care	☐	☐
v. Children experiencing homelessness	☐	☐
vi. Children with diverse linguistic or cultural backgrounds	☐	☐
vii. Children in underserved areas	☐	☐
viii. Children in urban areas	☐	☐
ix. Children in rural areas	☐	☐
x. Other populations, please specify <i>Click or tap here to enter text.</i>	☐	☐

4.1.7 Lead Agencies must identify shortages in the supply of high-quality child care providers that meet parents' needs and preferences. List the data sources used to identify any shortages and declines in the supply of care types that meet parents' needs. Also describe the method of tracking progress to support equal access and parental choice (98.16(x)).

- a. In child care centers. *Click or tap here to enter text.*
- b. In child care homes. *Click or tap here to enter text.*
- c. Other. *Click or tap here to enter text.*

4.1.8 Lead Agencies are required to develop and implement strategies to increase the supply of and improve the quality of child care services (98.16 (x)). These strategies should address children in underserved areas; infants and toddlers; children with disabilities, as defined by the Lead Agency; and children who receive care during non-traditional hours. Identify what method(s) is (are) used to increase supply and/or to improve quality for the following populations and indicate in the description if a strategy is focused more on building supply or on improving quality.

- a. Children in underserved areas. Check and describe all that apply.
 - ☐ i. Grants and contracts (as discussed in 4.1.6). Describe: *Click or tap here to enter text.*
 - ☐ ii. Targeted Family Child Care Support such as Family Child Care Networks. Describe: *Click or tap here to enter text.*
 - ☐ iii. Start-up funding. Describe: *Click or tap here to enter text.*
 - ☐ iv. Technical assistance support. Describe: *Click or tap here to enter text.*
 - ☐ v. Recruitment of providers. Describe: *Click or tap here to enter text.*

- ☐ vi. Tiered payment rates (as discussed in 4.3.3). Describe: [Click or tap here to enter text.](#)
 - ☐ vii. Support for improving business practices, such as management training, paid sick leave, and shared services. Describe: [Click or tap here to enter text.](#)
 - ☐ viii. Accreditation supports. Describe: [Click or tap here to enter text.](#)
 - ☐ ix. Child care health consultation. Describe: [Click or tap here to enter text.](#)
 - ☐ x. Mental health consultation. Describe: [Click or tap here to enter text.](#)
 - ☐ xi. Other. Describe: [Click or tap here to enter text.](#)
- b. Infants and toddlers. Check and describe all that apply.
- ☐ i. Grants and contracts (as discussed in 4.1.6). Describe: [Click or tap here to enter text.](#)
 - ☐ ii. Family Child Care Networks. Describe: [Click or tap here to enter text.](#)
 - ☐ iii. Start-up funding. Describe: [Click or tap here to enter text.](#)
 - ☐ iv. Technical assistance support. Describe: [Click or tap here to enter text.](#)
 - ☐ v. Recruitment of providers. Describe: [Click or tap here to enter text.](#)
 - ☐ vi. Tiered payment rates (as discussed in 4.3.3). Describe: [Click or tap here to enter text.](#)
 - ☐ vii. Support for improving business practices, such as management training, paid sick leave, and shared services. Describe: [Click or tap here to enter text.](#)
 - ☐ viii. Accreditation supports. Describe: [Click or tap here to enter text.](#)
 - ☐ ix. Child care health consultation. Describe: [Click or tap here to enter text.](#)
 - ☐ x. Mental health consultation. Describe: [Click or tap here to enter text.](#)
 - ☐ xi. Other. Describe: [Click or tap here to enter text.](#)
- c. Children with disabilities. Check and describe all that apply.
- ☐ i. Grants and contracts (as discussed in 4.1.6). Describe: [Click or tap here to enter text.](#)
 - ☐ ii. Family Child Care Networks. Describe: [Click or tap here to enter text.](#)
 - ☐ iii. Start-up funding. Describe: [Click or tap here to enter text.](#)
 - ☐ iv. Technical assistance support. Describe: [Click or tap here to enter text.](#)
 - ☐ v. Recruitment of providers. Describe: [Click or tap here to enter text.](#)
 - ☐ vi. Tiered payment rates (as discussed in 4.3.3). Describe: [Click or tap here to enter text.](#)
 - ☐ vii. Support for improving business practices, such as management training, paid sick leave, and shared services. Describe: [Click or tap here to enter text.](#)
 - ☐ viii. Accreditation supports. Describe: [Click or tap here to enter text.](#)
 - ☐ ix. Child care health consultation. Describe: [Click or tap here to enter text.](#)

- ☐ x. Mental health consultation. Describe: [Click or tap here to enter text.](#)
 - ☐ xi. Other. Describe: [Click or tap here to enter text.](#)
- d. Children who receive care during non-traditional hours. Check and describe all that apply.
- ☐ i. Grants and contracts (as discussed in 4.1.6). Describe: [Click or tap here to enter text.](#)
 - ☐ ii. Family Child Care Networks. Describe: [Click or tap here to enter text.](#)
 - ☐ iii. Start-up funding. Describe: [Click or tap here to enter text.](#)
 - ☐ iv. Technical assistance support. Describe: [Click or tap here to enter text.](#)
 - ☐ v. Recruitment of providers. Describe: [Click or tap here to enter text.](#)
 - ☐ vi. Tiered payment rates (as discussed in 4.3.3). Describe: [Click or tap here to enter text.](#)
 - ☐ vii. Support for improving business practices for providers, such as management training, and shared services. Describe: [Click or tap here to enter text.](#)
 - ☐ viii. Accreditation supports. Describe: [Click or tap here to enter text.](#)
 - ☐ ix. Child Care health consultation. Describe: [Click or tap here to enter text.](#)
 - ☐ x. Mental health consultation. Describe: [Click or tap here to enter text.](#)
 - ☐ xi. Other. Describe: [Click or tap here to enter text.](#)
- e. Other. Check and describe all that apply.
- ☐ i. Grants and contracts (as discussed in 4.1.6). Describe: [Click or tap here to enter text.](#)
 - ☐ ii. Family Child Care Networks. Describe: [Click or tap here to enter text.](#)
 - ☐ iii. Start-up funding. Describe: [Click or tap here to enter text.](#)
 - ☐ iv. Technical assistance support. Describe: [Click or tap here to enter text.](#)
 - ☐ v. Recruitment of providers. Describe: [Click or tap here to enter text.](#)
 - ☐ vi. Tiered payment rates (as discussed in 4.3.3). Describe: [Click or tap here to enter text.](#)
 - ☐ vii. Support for improving business practices, such as management training, paid sick leave, and shared services. Describe: [Click or tap here to enter text.](#)
 - ☐ viii. Accreditation supports. Describe: [Click or tap here to enter text.](#)
 - ☐ ix. Child Care health consultation. Describe: [Click or tap here to enter text.](#)
 - ☐ x. Mental health consultation. Describe: [Click or tap here to enter text.](#)
 - ☐ xi. Other. Describe: [Click or tap here to enter text.](#)

- 4.1.9 Lead Agencies must prioritize investments for increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and do not currently have sufficient numbers of such programs (658 E(c)(2)(M); 98.16 (x);98.46(b)).
- How does the Lead Agency define areas with significant concentrations of poverty and unemployment? [Click or tap here to enter text.](#)
 - Describe how the Lead Agency prioritizes increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and that do not have access to high-quality programs.
[Click or tap here to enter text.](#)

4.2 Assess Market Rates and Analyze the Cost of Child Care

Key principles of the CCDF are to: (1) provide equal access to child care for children receiving child care assistance; and (2) ensure parental choice by offering a full range of child care services. Payment rates that are too low to support equal access undermine these principles. To establish subsidy payment rates that ensure equal access, Lead Agencies collect and analyze data through a number of tools. Lead Agencies have the option to conduct a statistically valid and reliable (1) market rate survey (MRS) reflecting variations in the price to parents of child care services by geographic area, type of provider, and age of child or (2) an ACF pre-approved alternative methodology, such as a cost estimation model (658E(c)(4)(B)). A cost estimation model estimates the cost of care by incorporating both data and assumptions to judge what expected costs would be incurred by child care providers and parents under different scenarios. Another approach would be a cost study that collects cost data at the facility or program level to measure the costs (or inputs used) to deliver child care services (CCDF-ACF-PI-2018-01).

Regardless of whether Lead Agencies conduct a market rate survey or an alternative methodology, they are required to analyze the cost of providing child services, known as the narrow cost analysis, that meet basic health, safety, quality and staffing requirements (base level care) (98.45(b)(3), (f)(1)(ii)(A), and (f)(2)(ii)), and higher-quality care at each level of quality, as defined by the Lead Agency (98.45(b)(4), (f)(1)(ii)(B), and (f)(2)(iii)). The analysis must identify the gaps between the cost of care and subsidy levels adopted by the state and then be considered as part of the rate setting process.

Note: Any Lead Agency considering using an alternative methodology, instead of a market rate survey, is required to submit a description of its proposed approach to its ACF Regional Child Care Program Office for pre-approval in advance of the Plan submittal (see <https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2016-08>). Advance approval is not required if the Lead Agency plans to implement both a market rate survey and an alternative methodology. In its request for ACF pre-approval, a Lead Agency must:

- Provide an overview of the Lead Agency's proposed approach (e.g., cost estimation model, cost study/survey, etc.), including a description of data sources.
- Describe what information the Lead Agency will obtain from an alternative methodology that could not be obtained from the required narrow cost analysis.
- Describe how the Lead Agency will consult with the State Early Childhood Advisory Council or similar coordinating body, local child care program administrators, local child care

resource and referral agencies, organizations representing child care caregivers, teachers and directors, and other appropriate entities prior to conducting the identified alternative methodology.

- Describe how the alternative methodology will use methods that are statistically valid and reliable and will yield accurate results. For example, if using a survey, describe how the Lead Agency will ensure a representative sample and promote an adequate response rate. If using a cost estimation model, describe how the Lead Agency will validate the assumptions in the model.
- If the proposed alternative methodology includes an analysis of costs (e.g., cost estimation model or cost study/survey), describe how the alternative methodology will account for key factors that impact the cost of providing care, such as: staff salaries and benefits, training and professional development, curricula and supplies, group size and ratios, enrollment levels, licensing requirements, quality level, facility size, and other factors.
- Describe how the alternative methodology will provide complete information that captures the universe of providers in the child care market.
- Describe how the alternative methodology will reflect variations by provider type, age of children, geographic location, and quality.
- Describe how the alternative methodology will use current data.
- What metrics the Lead Agency will use to set rates based on the alternative methodology.
- Describe the estimated reporting burden and cost to conduct the approach.

A Market Rate Survey (MRS) or an ACF pre-approved alternative methodology must be developed and conducted no earlier than 2 years before the date of submission of the Plan (658E(c)(4)(B)(i) (98.45 (c)). Due to the COVID-19 pandemic, Lead Agencies may request a waiver for up to one additional year (until July 1, 2022) to complete the required MRS or an ACF pre-approved alternative methodology. Lead Agencies may also request the required Narrow Cost Analysis be waived for one year (until July 1, 2022). These waiver requests must include a justification linked to the COVID-19 pandemic.

4.2.1 Completion of the MRS or ACF pre-approved alternative methodology.

Did the state/territory conduct a statistically valid and reliable MRS or ACF pre-approved alternative methodology?

- ☐ Yes. If yes, please identify the methodology(ies) used below to assess child care prices and/or costs.
 - ☐ a. MRS. When was your data gathered (provide a date range, for instance, September – December, 2019)? [Click or tap here to enter text.](#)
 - ☐ b. ACF pre-approved alternative methodology. Identify the date of the ACF approval and describe the methodology: [Click or tap here to enter text.](#)
- ☐ No, a waiver is being requested in Appendix A.
 - a. Please identify the Lead Agency's planned methodology(ies) to assess child care prices and/or costs.
 - ☐ i. MRS. If checked, describe the status of the Lead Agency's implementation of

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

- ☐ ii. ACF pre-approved alternative methodology. If checked, describe the status of the Lead Agency's implementation of the ACF pre-approved alternative methodology, including if applicable, the date of the ACF approval and a description of the methodology: [Click or tap here to enter text.](#)
- b. If a waiver is requested, Lead Agencies will need to respond to questions 4.2.2-4.5.2 based on data collected for the FY 2019-2021 CCDF Plan or any data collected since then. Identify the date of the Lead Agencies' most recent and complete Market Rate Survey or ACF pre-approved alternative methodology that will provide data to inform responses to questions 4.2.2–4.5.2. Click or tap here to enter text.

4.2.2 Prior to developing and conducting the MRS, or conducting the ACF pre-approved alternative methodology, the Lead Agency is required to consult with (1) the State Advisory Council or similar coordinating body, local child care program administrators, local child care resource and referral agencies, and other appropriate entities, and (2) organizations representing caregivers, teachers, and directors (98.45 (e)). Local child care program administrators may also be good informants to Lead Agencies on narrow cost analyses.

Describe how the Lead Agency consulted with the:

- a. State Advisory Council or similar coordinating body: [Click or tap here to enter text.](#)
- b. Local child care program administrators: [Click or tap here to enter text.](#)
- c. Local child care resource and referral agencies: [Click or tap here to enter text.](#)
- d. Organizations representing caregivers, teachers, and directors: [Click or tap here to enter text.](#)
- e. Other. Describe: [Click or tap here to enter text.](#)

4.2.3 ACF has established a set of benchmarks, largely based on research, to identify the components of a valid and reliable market rate survey (81 FR, p. 67509). To be considered valid and reliable a Market Rate Survey or preapproved alternative methodology meets the following:

- represents the child care market
- provides complete and current data
- uses rigorous data collection procedures
- reflects geographic variations
- analyzes data in a manner that captures other relevant differences

An MRS can use administrative data, such as child care resource and referral data, if it is representative of the market.

- a. Describe how each of the benchmarks are met in either the MRS or ACF pre-approved alternative methodology.
 - i. Represent the child care market: [Click or tap here to enter text.](#)
 - ii. Provide complete and current data: [Click or tap here to enter text.](#)
 - iii. Use rigorous data collection procedures: [Click or tap here to enter text.](#)
 - iv. Reflect geographic variations: [Click or tap here to enter text.](#)

- v. Analyze data in a manner that captures other relevant differences: [Click or tap here to enter text.](#)
 - b. Given the impact of COVID-19 on the child care market, do you think that the data you gathered (as indicated in 4.2.1) on the prices or costs of child care adequately reflect the child care market as you submit this plan?
 - ☐ No
 - ☐ Yes. If yes, why do you think the data represents the child care market? [Click or tap here to enter text.](#)
- 4.2.4 Describe how the market rate survey or ACF pre-approved alternative methodology reflects variations in the price or cost of child care services by:
- a. Geographic area (e.g., statewide or local markets). Describe: [Click or tap here to enter text.](#)
 - b. Type of provider. Describe: [Click or tap here to enter text.](#)
 - c. Age of child. Describe: [Click or tap here to enter text.](#)
 - d. Describe any other key variations examined by the market rate survey or ACF pre-approved alternative methodology, such as quality level. [Click or tap here to enter text.](#)
- 4.2.5 Has the Narrow Cost Analysis been completed for the FY 2022 – 2024 CCDF Plan?
- ☐ No, a waiver is being requested in Appendix A. If no, describe the status of the Lead Agency's upcoming narrow cost analysis. [Click or tap here to enter text.](#)
 - ☐ Yes, the narrow cost analysis information is included in the report as described in 4.2.6. If yes, describe how the State/Territory analyzed the cost of child care through a narrow cost analysis for the FY 2022 – 2024 CCDF Plan, including:
 - a. The methodology the Lead Agency used to conduct, obtain, and analyze data on the estimated cost of care (narrow cost analysis), including any relevant variation by geographic location, category of provider, or age of child (98.45 (f)(ii)). [Click or tap here to enter text.](#)
 - b. How the methodology addresses the cost of child care providers' implementation of health, safety, quality and staffing requirements (i.e. applicable licensing and regulatory requirements, health and safety standards, training and professional development standards, and appropriate child to staff ratio, groups size limits, and caregiver qualification requirements (98.45 (f)(ii)(A)). [Click or tap here to enter text.](#)
 - c. How the methodology addresses the cost of higher-quality care, as defined by the Lead Agency using a quality rating and improvement system or other system of quality indicators, at each level of quality (98.45 (f)(ii)(B)). [Click or tap here to enter text.](#)
 - d. The gap between costs incurred by child care providers and the Lead Agency's payment rates based on findings from the narrow cost analysis. [Click or tap here to enter text.](#)

- 4.2.6 After conducting the market rate survey or ACF pre-approved alternative methodology, the Lead Agency must prepare a detailed report containing the results of the MRS or ACF pre-approved alternative methodology. The detailed report must also include the Narrow Cost Analysis, as described in 4.2.5, which estimates the cost of care (including any relevant variation by geographic location, category of provider, or age of child) necessary to support (1) child care providers' implementation of the health, safety, quality, and staffing requirements, and (2) higher quality care, as defined by the Lead Agency using a quality rating and improvement system or other system of quality indicators, at each level of quality. For states without a QRIS or for a state with a QRIS system that is currently limited to only certain providers, those states may use other quality indicators (e.g. provider status related to accreditation, PreK standards, Head Start performance standards, school-age quality standards, or state defined quality measures.)

The Lead Agency must make the report with these results widely available no later than 30 days after completion of the report, including posting the results on the Lead Agency website. The Lead Agency must describe in the detailed report how the Lead Agency took into consideration the views and comments of the public or stakeholders.

Describe how the Lead Agency made the results of the market rate survey or ACF pre-approved alternative methodology report widely available to the public (98.45(f)(1)) by responding to the questions below.

- a. Date the report containing results was made widely available—no later than 30 days after the completion of the report. [Click or tap here to enter text.](#)
- b. Describe how the Lead Agency made the detailed report containing results widely available and provide the link where the report is posted. [Click or tap here to enter text.](#)
- c. Describe how the Lead Agency considered stakeholder views and comments in the detailed report. [Click or tap here to enter text.](#)

4.3 Establish Adequate Payment Rates

The Lead Agency must set CCDF subsidy payment rates, in accordance with the results of the current MRS or ACF pre-approved alternative methodology, as identified in 4.2.1, at a level to ensure equal access for eligible families to child care services that are comparable with those provided to families not receiving CCDF assistance. Lead Agencies must also consider the costs of base and higher quality care at each level as part of its rate setting. The Lead Agency must re-evaluate its payment rates at least every 3 years.

- 4.3.1 Provide the base payment rates and percentiles (based on the most recent MRS as identified in 4.2.1) for the following categories below. Lead Agencies are required to provide a summary of data and facts in their Plan to demonstrate how its payment rates ensure equal access. The preamble to the final rule (81 FR, p. 67512), indicates that a benchmark for adequate payment rates is the 75th percentile of the most recent MRS. The 75th percentile is the number separating the lowest 75 percent of rates from the highest 25 percent. Setting rates at the 75th percentile, while not a requirement, would ensure that eligible children have access to three out of four child care slots.

The 75th percentile benchmark applies to the base rates. Base rates are the lowest, foundational rates before any differentials are added (e.g., for higher quality or other purposes). Further,

base rates must be sufficient to ensure that minimum health and safety and staffing requirements are covered.

Percentiles are not required if the Lead Agency conducted an ACF pre-approved alternative methodology, but must be reported if the Lead Agency conducted a MRS. For states that conduct an ACF pre-approved alternative methodology, report the base payment rates based on a full-time weekly rate.

The ages and types of care listed below are meant to provide a snapshot of the categories on which rates can be based and are not intended to be comprehensive of all categories that might exist or to reflect the terms used by the Lead Agency for particular ages. If rates are not statewide, please use the most populous geographic region (defined as the area serving highest number of CCDF children) to report base payment rates below.

- a. Fill in the table below based on either the statewide rates or the most populous area of the state (area serving highest number of children accessing CCDF). To facilitate compiling state by state payment rates, provide the full-time weekly base payment rates in the table below. If weekly payment rates are not published, then the Lead Agency will need to calculate its equivalent.

Age of child in what type of licensed child care setting. (All rates are full-time)	Base payment rate (including unit)	Full-time weekly base payment rate	If the Lead Agency conducted an MRS, what is the percentile of the base payment rate?	If the Lead Agency used an alternative methodology what percent of the estimated cost of care is the base rate?
Infant (6 months) Center care				
Toddler (18 months) Center care				
Preschooler (4 years) Center care				
School-age child (6 years) Center care (Based on full-day, full-year rates that would be paid during the summer.)				
Infant (6 months) Family Child Care				
Toddler (18 months)				

Age of child in what type of licensed child care setting. (All rates are full-time)	Base payment rate (including unit)	Full-time weekly base payment rate	If the Lead Agency conducted an MRS, what is the percentile of the base payment rate?	If the Lead Agency used an alternative methodology what percent of the estimated cost of care is the base rate?
Family Child Care				
Preschooler (4 years)				
Family Child Care				
School-age child (6 years)				
Family Child Care (Based on full-day, full-year rates that would be paid during the summer.)				

- b. If the Lead Agency does not publish weekly rates then how were these rates calculated (e.g., were daily rates multiplied by 5 or monthly rates divided by 4.3)? [Click or tap here to enter text.](#)
- c. Describe how the Lead Agency defines and calculates part-time and full-time care. [Click or tap here to enter text.](#)
- d. Provide the date these current payment rates became effective (i.e., date of last update based on most recent MRS as reported in 4.2.1). [Click or tap here to enter text.](#)
- e. If applicable, identify the most populous area of the state (area serving highest number of children accessing CCDF) used to complete the responses above. [Click or tap here to enter text.](#)
- f. Provide the citation, or link, if available, to the payment rates [Click or tap here to enter text.](#)
- g. If the payment rates are not set by the Lead Agency for the entire state/territory, describe how many jurisdictions set their own payment rates (98.16(i)(3)). [Click or tap here to enter text.](#)

4.3.2 Describe how and on what factors the Lead Agency differentiates payment rates. Check all that apply.

- ☐ a. Geographic area. Describe: [Click or tap here to enter text.](#)
- ☐ b. Type of provider. Describe: [Click or tap here to enter text.](#)
- ☐ c. Age of child. Describe: [Click or tap here to enter text.](#)
- ☐ d. Quality level. Describe: [Click or tap here to enter text.](#)
- ☐ e. Other. Describe: [Click or tap here to enter text.](#)

4.3.3 Lead Agencies can choose to establish tiered rates, differential rates, or add-ons on top of their base rates as a way to increase payment rates for targeted needs (i.e., a higher rate for special needs children as both an incentive for providers to serve children with special needs and as a way to cover the higher costs to the provider to provide care for special needs children). Lead Agencies may pay providers more than their private pay rates as an incentive or to cover costs for higher quality care (81 FR, p. 67514).

Has the Lead Agency chosen to implement tiered reimbursement or differential rates?

- ☐ No
- ☐ Yes, If yes, identify below any tiered or differential rates, and at a minimum, indicate the process and basis used for determining the tiered rates, including if the rates were based on the MRS or an ACF pre-approved alternative methodology. Check and describe all that apply.
 - ☐ a. Tiered or differential rates are not implemented. [Click or tap here to enter text.](#)
 - ☐ b. Differential rate for non-traditional hours. Describe: [Click or tap here to enter text.](#)
 - ☐ c. Differential rate for children with special needs, as defined by the state/territory. Describe: [Click or tap here to enter text.](#)
 - ☐ d. Differential rate for infants and toddlers. Note: Do not check if the Lead Agency has a different base rate for infants/toddlers with no separate bonus or add-on. Describe: [Click or tap here to enter text.](#)
 - ☐ e. Differential rate for school-age programs. Note: Do not check if the Lead Agency has a different base rate for school-age children with no separate bonus or add-on. Describe: [Click or tap here to enter text.](#)
 - ☐ f. Differential rate for higher quality, as defined by the state/territory. Describe: [Click or tap here to enter text.](#)
 - ☐ g. Other differential rates or tiered rates. Describe: [Click or tap here to enter text.](#)

4.3.4 Establishment of adequate payment rates.

- a. Describe how base payment rates are adequate and enable providers to meet health, safety, quality, and staffing requirements under CCDF, and how they were established based on the most recent MRS or ACF pre-approved alternative methodology and the Narrow Cost Analysis, as reported in 4.2.1 and 4.2.5.. In determining compliance with the Act for the equal access provisions in the FY2019-2021 CCDF Plan, the OCC reviewed all the states with payment rates below the 75th percentile benchmark. Of those states, the half with the lowest payment rates were considered non-compliant and placed on a corrective action plan

(CAP). These states all had rates below the 25th percentile for either some or all categories of care. The 25th percentile is not to be viewed as a benchmark or a long-term solution to gauge equal access. It is also not to be viewed as sufficient for compliance in future plan cycles. OCC expects to continue to take action against states with the lowest rates in future plan cycles in an effort to keep payment rates moving upward toward ensuring equal access. Note: Per the preamble (81 FR p. 67512), in instances where an MRS or ACF pre-approved alternative methodology indicates that prices or costs have increased, Lead Agencies must raise their rates as a result. [Click or tap here to enter text.](#)

- b. Describe the process used for setting rates, including how the Lead Agency factors in the cost of care, including any increased costs and provider fees because of COVID-19, and how such costs may be modified after the pandemic subsidies.

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

- 4.3.5 Describe how the Lead Agency took the cost of higher quality, as determined in 4.2.5, into account, including how payment rates for higher-quality care, as defined by the Lead Agency using a QRIS or other system of quality indicators, relate to the estimated cost of care at each level of quality. Note: For states without a QRIS, the states may use other quality indicators (e.g. provider status related to accreditation, PreK standards, Head Start performance standards, or state-defined quality measures). [Click or tap here to enter text.](#)
- 4.3.6 Identify and describe any additional facts that the Lead Agency considered in determining its payment rates ensure equal access. If applicable, provide a description of how any additional health and safety costs, because of the COVID-19 pandemic are included in rate setting. [Click or tap here to enter text.](#)

4.4 Implement Generally Accepted Payment Practices and Ensure Timeliness of Payments

Lead Agencies are required to demonstrate that they have established payment practices applicable to all CCDF child care providers 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 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 5 or fewer days in a month, or (4) using an alternative approach for which the Lead Agency provides a justification in its Plan (658E(c)(2)(S)(ii); 98.45(I)(2)).

Lead Agencies are 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 a Lead Agency is able to demonstrate that the following policies are not generally accepted in its particular state, territory, or service area or among particular categories or types of providers, 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(I)(3)). Responses may also identify any additional health and safety fees providers are charging as a result of COVID-19.

In addition, there are certain other generally accepted payment practices that are required. 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(I)(4) through (6); 658E(c)(2)(S)(ii); 98.45(I)(4); 98.45(I)(5); 98.45(I)(6)).

- 4.4.1 Certify by identifying and describing the payment practices below that the Lead Agency has implemented for all CCDF child care providers.
- a. Ensure the timeliness of payments by either (Lead Agency to implement at least one of the following):

- ☐ i. Paying prospectively prior to the delivery of services. Describe the policy or procedure. [Click or tap here to enter text.](#)
- ☐ ii. Paying within no more than 21 calendar days of the receipt of a complete invoice for services. Describe the policy or procedure. [Click or tap here to enter text.](#)
- b. To the extent practicable, support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by: Note: The Lead Agency is to choose at least one of the following:
 - ☐ i. Paying based on a child's enrollment rather than attendance. Describe the policy or procedure. [Click or tap here to enter text.](#)
 - ☐ ii. Providing full payment if a child attends at least 85 percent of the authorized time. Describe the policy or procedure. [Click or tap here to enter text.](#)
 - ☐ iii. Providing full payment if a child is absent for five or fewer days in a month. Describe the policy or procedure. [Click or tap here to enter text.](#)
 - ☐ iv. Use an alternative approach for which the Lead Agency provides a justification in its Plan. If chosen, please describe the policy or procedure and the Lead Agency's justification for this approach. [Click or tap here to enter text.](#)
- c. The Lead Agency's payment practices reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF subsidies. These payment practices must include the following two practices unless the Lead Agency provides evidence that such practices are not generally accepted in its state (658E(c)(2)(S); 98.45(l)(3)).
 - i. Paying on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time). Describe the policy or procedure and include a definition of the time increments (e.g., part time, full-time). [Click or tap here to enter text.](#)
 - ii. Paying for reasonable mandatory registration fees that the provider charges to private-paying parents. Describe the policy or procedure. [Click or tap here to enter text.](#)
- d. The Lead Agency ensures that providers are paid in accordance with a written payment agreement or an authorization for services that includes, at a minimum, information regarding provider payment policies, including rates, schedules, any fees charged to providers, including fees related to COVID 19, and the dispute-resolution process. Describe: [Click or tap here to enter text.](#)
- e. The Lead Agency provides 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 Lead Agency becomes aware that such a change will occur. Describe: [Click or tap here to enter text.](#)
- f. The Lead Agency has a timely appeal and resolution process for payment inaccuracies and disputes. Describe: [Click or tap here to enter text.](#)
- g. Other. Describe: [Click or tap here to enter text.](#)

4.4.2 Do payment practices vary across regions, counties, and/or geographic areas?

- ☐ No, the practices do not vary across areas.
- ☐ Yes, the practices vary across areas. Describe: [Click or tap here to enter text.](#)

4.4.3 Describe how Lead Agencies' payment practices described in subsection 4.4 support equal access to a full range of providers. [Click or tap here to enter text.](#)

4.5 Establish Affordable Co-Payments

Family co-payments are addressed in Section 3 related to minimum 12-month eligibility and the graduated phase-out provision and also in this subsection, because they are an important element for determining equal access. If a Lead Agency allows providers to charge amounts more than the required family co-payments, the Lead Agency must provide a rationale for this practice, including how charging such additional amounts will not negatively impact a family's ability to receive care they might otherwise receive, taking into consideration a family's co-payment and the provider's payment rate.

4.5.1 How will the Lead Agency ensure that the family contribution/co-payment, based on a sliding-fee scale, is affordable and is not a barrier to families receiving CCDF services (98.16 (k))? Check all that apply.

- ☐ a. Limit the maximum co-payment per family. Describe: [Click or tap here to enter text.](#)
- ☐ b. 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.
[Click or tap here to enter text.](#)
- ☐ c. 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 discussed in 3.2.5. Describe: [Click or tap here to enter text.](#)
- ☐ d. Other. Describe: [Click or tap here to enter text.](#)

4.5.2 Does the Lead Agency choose the option to 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))?

- ☐ No
- ☐ Yes. If yes:
 - i. Provide the rationale for the Lead Agency's policy to allow providers to charge families additional amounts above the required co-payment, including a demonstration of how the policy promotes affordability and access for families. [Click or tap here to enter text.](#)
 - ii. Provide data (including data on the size and frequency of such amounts) on the extent to which CCDF providers charge additional amounts to families.
[Click or tap here to enter text.](#)

- iii. Describe the Lead Agency's analysis of the interaction between the additional amounts charged to families with the required family co-payment and the ability of current subsidy payment rates to provide access to care without additional fees.
[Click or tap here to enter text.](#)

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

Lead Agencies are required to certify that there are in effect licensing requirements applicable to all child care services in the state/territory, which supports the health and safety of all children in child care. States and territories may allow licensing exemptions. Lead Agencies must describe how such licensing exemptions do not endanger the health, safety, and development of CCDF children in license-exempt care (98.16 (u)).

Lead Agencies also must certify that there are in effect health and safety standards and training requirements applicable to providers serving CCDF children whether they are licensed or license- exempt. 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.

The organization of this section begins with a description of the licensing system for all child care providers in a state or territory and then moves to focus specifically on CCDF providers who may be licensed, or those exempt from licensing. The next section addresses child-staff ratios, group size limits, and required qualifications for caregivers, teachers, and directors (98.16(m)) serving CCDF children. The section then covers the health and safety requirements; standards, training, and monitoring and enforcement procedures to ensure that CCDF child care providers comply with licensing and health and safety requirements (98.16(n)). Finally, Lead Agencies are asked to describe any exemptions for relative providers (98.16(l)). In some cases, CCDF health and safety requirements may be integrated within the licensing system for licensed providers and may be separate for CCDF providers who are license-exempt. In either case, Lead Agencies are expected to identify and describe health and safety requirements for all providers receiving CCDF.

Note: When responding to questions in this section, the OCC recognizes that each state/territory identifies and defines its own categories of care. The OCC does not expect states/territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care.

Criminal background check requirements are included in this section (98.16(o)). It is important to note that these requirements apply to all child care staff members who are licensed, regulated, or registered under state/territory law and all other providers eligible to deliver CCDF services.

Note: When asked for citations, responses can include state statute, regulations, administrative rules, policy manuals or policy issuances. See the Introduction on page 4 for more detail.

5.1 Licensing Requirements

Each state/territory must certify it has in effect licensing requirements applicable to all child care services provided within the state/territory (not restricted to providers receiving CCDF funds) and provide a detailed description of these requirements and how the requirements are effectively enforced (658E(c)(2)(F)). If any types of providers are exempt from licensing requirements, the state/territory must describe those exemptions and describe how these exemptions do not endanger the health, safety, or development of children. The descriptions must also include any exemptions based on provider category, type, or setting; length of day; and providers not subject to licensing because the number of children served falls below a Lead Agency-defined threshold and any other exemption to licensing requirements (658E(c)(2)(F); 98.16(u); 98.40(a)(2)(iv)).

- 5.1.1 To certify, describe the licensing requirements applicable to child care services provided within the state/territory by identifying the providers in your state/territory that are subject to licensing using the CCDF categories listed below. Check, identify, and describe all that apply, and provide a citation to the licensing rule.

- ☐ a. Center-based child care.
 - i. Identify the providers subject to licensing: [Click or tap here to enter text.](#)
 - ii. Describe the licensing requirements: [Click or tap here to enter text.](#)
 - iii. Provide the citation: [Click or tap here to enter text.](#)
- ☐ b. Family child care. Describe and provide the citation:
 - i. Identify the providers subject to licensing: [Click or tap here to enter text.](#)
 - ii. Describe the licensing requirements: [Click or tap here to enter text.](#)
 - iii. Provide the citation: [Click or tap here to enter text.](#)
- ☐ c. In-home care (care in the child's own) (if applicable):
 - i. Identify the providers subject to licensing: [Click or tap here to enter text.](#)
 - ii. Describe the licensing requirements: [Click or tap here to enter text.](#)
 - iii. Provide the citation: [Click or tap here to enter text.](#)

- 5.1.2 Identify the CCDF-eligible providers who are exempt from licensing requirements. Describe exemptions based on length of day, threshold on the number of children in care, ages of children in care, or any other factors applicable to the exemption. Describe how such exemptions do not endanger the health, safety, and development of children (658E (c)(2)(F); 98.40(a)(2)). Do not include exempt relative care providers, this information will be collected in Section 5.6.

- a. License-exempt center-based child care. Describe and provide the citation by answering the questions below.

- i. Identify the CCDF-eligible center-based child care providers who are exempt from licensing requirements. Describe the exemptions based on length of day, threshold on the number of children in care, ages of children in care, or any other factors applicable to the exemption: [Click or tap here to enter text.](#)
- ii. Provide the citation to this policy: [Click or tap here to enter text.](#)

- iii. Describe how the exemptions for these CCDF-eligible providers do not endanger the health, safety, and development of children. *Click or tap here to enter text.*
- b. License-exempt family child care. Describe and provide the citation by answering the questions below.
 - i. Identify the CCDF-eligible family child care providers who are exempt from licensing requirements. Describe the exemptions based on length of day, threshold on the number of children in care, ages of children in care, or any other factors applicable to the exemption: *Click or tap here to enter text.*
 - ii. Provide the citation to this policy: *Click or tap here to enter text.*
 - iii. Describe how the exemptions for these CCDF-eligible providers do not endanger the health, safety, and development of children. *Click or tap here to enter text.*
- c. In-home care (care in the child's own home by a non-relative): Describe and provide the citation by answering the questions below.
 - i. Identify the CCDF-eligible in-home child care (care in the child's own home by a non-relative) providers who are exempt from licensing requirements. Describe the exemptions based on length of day, threshold on the number of children in care, ages of children in care, or any other factors applicable to the exemption. *Click or tap here to enter text.*
 - ii. Provide the citation to this policy: *Click or tap here to enter text.*
 - iii. Describe how the exemptions for these CCDF-eligible providers do not endanger the health, safety, and development of children. *Click or tap here to enter text.*

5.2 Standards for Ratios, Group Size and Qualifications for CCDF Providers

Lead Agencies are required to have child care standards for providers receiving CCDF funds, appropriate to the type of child care setting involved, that address appropriate ratios between the number of children and number of providers in terms of the age of the children, group size limits for specific age populations, and the required qualifications for providers (658E(c)(2)(H); 98.41(d); 98.16(m)). For ease of responding, this section is organized by CCDF categories of care, licensing status, and age categories. Respondents should map their Lead Agency categories of care to the CCDF categories. Exemptions for relative providers will be addressed in subsection 5.6.

- 5.2.1 Describe how the state/territory defines the following age classifications. For instance, Infant: 0-18 months.
 - a. Infant. Describe: *Click or tap here to enter text.*
 - b. Toddler. Describe: *Click or tap here to enter text.*
 - c. Preschool. Describe: *Click or tap here to enter text.*
 - d. School-Age. Describe: *Click or tap here to enter text.*
- 5.2.2 To demonstrate continued compliance, provide the ratio and group size for settings and age groups below.
 - a. Licensed CCDF center-based care:
 - i. Infant

- A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- ii. Toddler
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- iii. Preschool
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- iv. School-Age
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- v. Mixed-Age Groups (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- vi. If any of the responses above are different for exempt child care centers, describe the ratio and group size requirements for license-exempt providers.
[Click or tap here to enter text.](#)
- b. Licensed CCDF family child care home providers:
 - i. Mixed-Age Groups
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
 - ii. Infant (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
 - iii. Toddler (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
 - iv. Preschool (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
 - v. School-Age (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
 - vi. If any of the responses above are different for exempt child care homes, describe the ratio and group size requirements for license-exempt family child care home providers.
[Click or tap here to enter text.](#)
- c. Licensed in-home care (care in the child's own home):

- i. Mixed-Age Groups (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- ii. Infant (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- iii. Toddler (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- iv. Preschool (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- v. School-Age (if applicable)
 - A. Ratio: [Click or tap here to enter text.](#)
 - B. Group size: [Click or tap here to enter text.](#)
- vi. Describe the ratio and group size requirements for license-exempt in-home care.
[Click or tap here to enter text.](#)

5.2.3 Provide the teacher/caregiver qualifications for each category of care.

- a. Licensed Center-Based Care
 - i. Describe the teacher qualifications for licensed CCDF center-based care, including any variations based on the ages of children in care: [Click or tap here to enter text.](#)
 - ii. Describe the director qualification for licensed CCDF center-based care, including any variations based on the ages of children in care or the number of staff employed:
[Click or tap here to enter text.](#)
 - iii. If any of the responses above are different for license-exempt child care centers, describe which requirements apply to exempt centers: [Click or tap here to enter text.](#)
 - iv. If applicable, provide the website link detailing the center-based teacher and director qualifications. [Click or tap here to enter text.](#)
- b. Licensed Family Child Care
 - i. Describe the provider qualifications for licensed family child care homes, including any variations based on the ages of children in care: [Click or tap here to enter text.](#)
 - ii. If any of the responses above are different for license-exempt family child care homes, describe which requirements apply to exempt homes: [Click or tap here to enter text.](#)
 - iii. If applicable, provide the website link detailing the family child care home provider qualifications: [Click or tap here to enter text.](#)
- c. Regulated or registered In-home Care (care in the child's own home by a non-relative)

- i. Describe the qualifications for licensed in-home child care providers (care in the child's own home) including any variations based on the ages of children in care:
[Click or tap here to enter text.](#)
- ii. If any of the responses above are different for license-exempt in-home care providers, describe which requirements apply to exempt in-home care providers:
[Click or tap here to enter text.](#)

5.3 Health and Safety Standards and Training for CCDF Providers

The state/territory must describe its requirements for pre-service or orientation training and ongoing training. Lead Agencies are required to have minimum pre-service or orientation training requirements (to be completed within 3 months), as appropriate to the provider setting and the age of children served. This training must address the required health and safety topics (658E(c)(2)(I)(i) and the content area of child development. Lead Agencies have flexibility in determining the number of training hours to require, and they may consult with Caring for our Children Basics for best practices and the recommended time needed to address these training requirements.

Lead Agencies must also have ongoing training requirements for caregivers, teachers, and directors who are caring for children receiving CCDF funds (658E(c)(2)(I)(i); 98.44(b)(1)(iii)). Lead Agencies are to report the total number of ongoing training hours that are required each year, but they do not have to report these hours out by topic (658E(c)(2)(G)(iii)). Ongoing training requirements will be addressed in 5.3.13.

Both preservice/orientation and ongoing trainings should be a part of a broader systematic approach and progression of professional development (as described in section 6) within a state/territory.

States and territories must have health and safety **standards** for programs (e.g., child care centers, family child care homes, etc.) serving children receiving CCDF assistance relating to the required health and safety topics as appropriate to the provider setting and age of the children served (98.41(a)). This requirement is applicable to all child care programs receiving CCDF funds regardless of licensing status (i.e., licensed or license-exempt). The only exception to this requirement is for relative providers, as defined in 98.2. Lead Agencies have the option of exempting relatives from some or all CCDF health and safety requirements (98.42(c)). Exemptions for relative providers' standards and training requirements will be addressed in question 5.6.3.

To certify, describe the following health and safety requirements for programs serving children receiving CCDF assistance on the following topics (98.16(I)) identified in questions 5.3.1 – 5.3.12. Note: Monitoring and enforcement will be addressed in subsection 5.4.

5.3.1 Prevention and control of infectious diseases (including immunizations) health and safety standards and training requirements.

- a. Standard(s)
 - i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)

- ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care. [Click or tap here to enter text.](#)

- iii. The Lead Agency must certify that the identified health and safety standard(s) is(are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for these training requirements, including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
- iii. To demonstrate compliance, certify by checking below how the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
 - ☐ Pre-Service
 - ☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above. [Click or tap here to enter text.](#)

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

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)
- ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care. [Click or tap here to enter text.](#)
- iii. The Lead Agency must certify that the identified health and safety standard(s) is(are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for this training requirement(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
 - ☐ Pre-Service
 - ☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.
[Click or tap here to enter text.](#)

5.3.3 Administration of medication, consistent with standards for parental consent.

- a. Standard(s)
 - i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)
 - ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.
[Click or tap here to enter text.](#)
 - iii. The Lead Agency must certify that the identified health and safety standard(s) is(are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- b. Pre-Service and Ongoing Training
 - i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
 - ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
 - iii. To demonstrate compliance, certify by checking below how the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

- ☐ Pre-Service
- ☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.
[Click or tap here to enter text.](#)

5.3.4 Prevention of and response to emergencies due to food and allergic reactions.

- a. Standard(s)
 - i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)
 - ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care. [Click or tap here to enter text.](#)
 - iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- b. Pre-Service and Ongoing Training
 - i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
 - ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
 - iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
 - ☐ Pre-Service
 - ☐ Orientation within three (3) months of hire
 - iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
 - v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and

update the health and safety practices as described in the standards above.

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

5.3.5 Building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic.

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)
- ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care. [Click or tap here to enter text.](#)
- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
☐ Pre-Service
☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
☐ Yes
☐ No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above. [Click or tap here to enter text.](#)

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

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)

- ii. Describe any variations in the standard(s) by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.
[Click or tap here to enter text.](#)
- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
 - ☐ Pre-Service
 - ☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.
[Click or tap here to enter text.](#)

5.3.7 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), within the meaning of those terms under section 602(a)(1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1)). Emergency preparedness and response planning (at the child care provider level) must also include procedures for evacuation; relocation; shelter-in-place and lockdown; staff and volunteer training and practice drills; communications and reunification with families; continuity of operations; and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions.

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)
- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.
[Click or tap here to enter text.](#)

- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
 - ☐ Pre-Service
 - ☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.
[Click or tap here to enter text.](#)

5.3.8 Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants.

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)
- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.
[Click or tap here to enter text.](#)
- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirement(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)

- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
 - ☐ Pre-Service
 - ☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.
[Click or tap here to enter text.](#)

5.3.9 Precautions in transporting children (if applicable).

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)
- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care.
[Click or tap here to enter text.](#)
- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for the training requirements, including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.

- ☐ Pre-Service
- ☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above.
[Click or tap here to enter text.](#)

5.3.10 Pediatric first aid and pediatric cardiopulmonary resuscitation (CPR).

- a. Standard(s)
 - i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)
 - ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care. [Click or tap here to enter text.](#)
 - iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- b. Pre-Service and Ongoing Training
 - i. Provide the citation(s) for this training requirement, including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
 - ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
 - iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
 - ☐ Pre-Service
 - ☐ Orientation within three (3) months of hire
 - iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
 - v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and

update the health and safety practices as described in the standards above.

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

5.3.11 Recognition and reporting of child abuse and neglect. Note: The description must include a certification that child care providers within the state comply with the child abuse reporting requirements of section 106(b)(2)(B)(i) of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i)).

a. Standard(s)

- i. Provide a brief description of the standard(s). This description should identify the practices which must be implemented by child care programs. [Click or tap here to enter text.](#)
- ii. Describe any variations in the standards by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), and the age of the children in care. [Click or tap here to enter text.](#)
- iii. The Lead Agency must certify that the identified health and safety standard(s) is (are) in effect and enforced through monitoring. Provide the citation(s) for the standard(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)

b. Pre-Service and Ongoing Training

- i. Provide the citation(s) for this training requirement(s), including citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- ii. Describe any variations in training requirements for the standard(s). Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
☐ Pre-Service
☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
☐ Yes
☐ No
- v. How do providers receive updated information and/or training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above. [Click or tap here to enter text.](#)

5.3.12 Child Development. Lead Agencies are required to describe in their plan how training addresses child development principles, including the major domains of cognitive, social, emotional, physical development and approaches to learning (98.44(b)(1)(iii)).

a. Pre-Service and Ongoing Training

- i. Describe the training content and provide the citation(s) for the training requirement(s). Include citations for both licensed and license-exempt providers. [Click or tap here to enter text.](#)
- ii. Describe any variations in training requirements for this topic. Do training requirements vary by category of care (i.e. Center, FCC, In-home), licensing status (i.e. licensed, license-exempt), or the age of the children in care? [Click or tap here to enter text.](#)
- iii. To demonstrate compliance, certify by checking below when the state/territory requires this training topic be completed by providers during either pre-service or during an orientation period within three (3) months of hire.
 - ☐ Pre-Service
 - ☐ Orientation within three (3) months of hire
- iv. Does the state/territory require that this training topic be completed before caregivers, teachers, and directors are allowed to care for children unsupervised?
 - ☐ Yes
 - ☐ No
- v. How do providers receive updated information and/or training regarding this topic? This description should include methods to ensure that providers are able to maintain and update their understanding of child development principles as described in the topic above. [Click or tap here to enter text.](#)

5.3.13 Provide the number of hours of ongoing training required annually for eligible CCDF providers in the following settings (658E(c)(2)(G)(iii):

- a. Licensed child care centers: [Click or tap here to enter text.](#)
- b. License-exempt child care centers: [Click or tap here to enter text.](#)
- c. Licensed family child care homes: [Click or tap here to enter text.](#)
- d. License-exempt family child care homes: [Click or tap here to enter text.](#)
- e. Regulated or registered In-home child care: [Click or tap here to enter text.](#)
- f. Non-regulated or registered in-home child care: [Click or tap here to enter text.](#)

5.3.14 In addition to the required standards, does the Lead Agency require providers to comply with the following optional standards? If checked, describe the standards, how often the training is required and include the citation. (Please check all that apply)

- ☐ a. Nutrition: [Click or tap here to enter text.](#)
- ☐ b. Access to physical activity: [Click or tap here to enter text.](#)
- ☐ c. Caring for children with special needs: [Click or tap here to enter text.](#)
- ☐ d. Any other areas determined necessary to promote child development or to protect children's health and safety (98.44(b)(1)(iii)). Describe: [Click or tap here to enter text.](#)

5.4 Monitoring and Enforcement Policies and Practices for CCDF Providers

5.4.1 Enforcement of licensing and health and safety requirements.

Lead agencies must certify that procedures are in effect to ensure that all child care providers caring for children receiving CCDF services comply with all applicable state and local health and safety requirements, including those described in 98.41 (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, or any other monitoring procedures to ensure compliance. Note: Inspection requirements are described starting in 5.4.2.

- a. To certify, describe the procedures to ensure that CCDF providers comply with the required Health and Safety **Standards** as described in Section 5.3. [Click or tap here to enter text.](#)
- b. To certify, describe the procedures to ensure that CCDF providers comply with the required Health and Safety **Training** as described in Section 5.3. [Click or tap here to enter text.](#)
- c. To certify, describe the procedures to ensure that CCDF providers comply with all other applicable state and local health, safety, and fire standards. [Click or tap here to enter text.](#)

5.4.2 Inspections for licensed CCDF providers.

Lead agencies must require licensing inspectors to perform inspections—with no fewer than one pre-licensure inspection for compliance with health, safety, and fire standards—of each child care provider and facility in the state/territory. Licensing inspectors are required to perform no fewer than one annual, unannounced inspection of each licensed CCDF provider for compliance with all child care licensing standards; it shall include an inspection for compliance with health and safety (including, but not limited to, those requirements described in 98.41) and fire standards; inspectors may inspect for compliance with all three standards—health, safety, and fire—at the same time (658E(c)(2)(K)(i)(II); 98.16 (n); 98.42(b)(2)(i)).

Certify by describing, in the questions below, your state/territory's monitoring and enforcement procedures to ensure that licensed child care providers comply with licensing standards, including compliance with health and safety (including, but not limited to, those requirements described in 98.41) and fire standards.

- a. Licensed CCDF center-based child care
 - i. Describe your state/territory's policies and practices for pre-licensure inspections of licensed child care center providers for compliance with health, safety, and fire standards. [Click or tap here to enter text.](#)

- ii. Describe your state/territory's policies and practices for annual, unannounced inspections of licensed CCDF child care center providers. [Click or tap here to enter text.](#)
 - iii. Identify the frequency of unannounced inspections:
 - ☐ A. Once a year
 - ☐ B. More than once a year. Describe: [Click or tap here to enter text.](#)
 - iv. If applicable, describe the differential monitoring process and how these inspections ensure that child care center providers continue to comply with the applicable licensing standards, including health, safety, and fire standards. [Click or tap here to enter text.](#)
 - v. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF center providers. [Click or tap here to enter text.](#)
- b. Licensed CCDF family child care home
- i. Describe your state/territory's policies and practices for pre-licensure inspections of licensed family child care providers for compliance with health, safety, and fire standards. [Click or tap here to enter text.](#)
 - ii. Describe your state/territory's policies and practices for annual, unannounced inspections of licensed CCDF family child care providers. [Click or tap here to enter text.](#)
 - iii. Identify the frequency of unannounced inspections:
 - ☐ A. Once a year
 - ☐ B. More than once a year. Describe: [Click or tap here to enter text.](#)
 - iv. If applicable, describe the differential monitoring process and how these inspections ensure that family child care providers continue to comply with the applicable licensing standards, including health, safety, and fire standards. [Click or tap here to enter text.](#)
 - v. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF family child care providers. [Click or tap here to enter text.](#)
- c. Licensed in-home CCDF child care
- i. Does your state/territory license in-home child care (care in the child's own home)?
 - ☐ No (Skip to 5.4.3 (a)).
 - ☐ Yes. If yes, answer A – D below:
 - A. Describe your state/territory's policies and practices for pre-licensure inspections of licensed in-home care (care in the child's own) providers for compliance with health, safety, and fire standards. [Click or tap here to enter text.](#)
 - B. Describe your state/territory's policies and practices for annual, unannounced inspections of licensed CCDF child care in-home care (care in the child's own home) providers. [Click or tap here to enter text.](#)
 - C. Identify the frequency of unannounced inspections:
 - ☐ 1. Once a year
 - ☐ 2. More than once a year. Describe: [Click or tap here to enter text.](#)

- D. If applicable, describe the differential monitoring process and how these inspections ensure that in-home care (care in the child's own providers continue to comply with the applicable licensing standards, including health, safety, and fire standards.
 - E. List the citation(s) for your state/territory's policies regarding inspections for licensed CCDF in-home care (care in the child's own home) providers.
[Click or tap here to enter text.](#)
- d. List the entity(ies) in your state/territory that is responsible for conducting pre-licensure inspections and unannounced inspections of licensed CCDF providers.
[Click or tap here to enter text.](#)

5.4.3 Inspections for license-exempt center-based and family child care providers.

The Lead Agency must have policies and practices that require licensing inspectors (or qualified monitors designated by the Lead Agency) to perform an annual monitoring visit of each license-exempt CCDF provider for compliance with health, safety, and fire standards (658E(c)(2)(K)(i)(IV); 98.42(b)(2)(ii)). Inspections for relative providers will be addressed in question 5.6.4. At a minimum, the health and safety requirements to be inspected must address the standards listed in subsection 5.3 (98.41(a)).

To certify, describe the policies and practices for the annual monitoring of:

- a. License-exempt center-based CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is used. *[Click or tap here to enter text.](#)*
 - i. Provide the citation(s) for this policy or procedure. *[Click or tap here to enter text.](#)*
- b. License-exempt family child care CCDF providers, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring is used. *[Click or tap here to enter text.](#)*
 - i. Provide the citation(s) for this policy or procedure. *[Click or tap here to enter text.](#)*

5.4.4 Inspections for license-exempt in-home care (care in the child's own home).

Lead Agencies have the option to develop alternate monitoring requirements for care provided in the child's home that are appropriate to the setting. A child's home may not meet the same standards as other child care facilities and this provision gives Lead Agencies flexibility in conducting more streamlined and targeted on-site inspections. For example, Lead Agencies may choose to monitor in-home providers on basic health and safety requirements such as training and background checks. Lead Agencies could choose to focus on health and safety risks that pose imminent danger to children in care. This flexibility cannot be used to bypass the monitoring requirement altogether. States should develop procedures for notifying parents of monitoring protocols and consider whether it would be appropriate to obtain parental permission prior to entering the home for inspection (98.42(b)(2)(iv)(B)).

- a. To certify, describe the policies and practices for the annual monitoring of license-exempt in-home care, including if monitoring is announced or unannounced, occurs more frequently than once per year, and if differential monitoring procedures are used.
[Click or tap here to enter text.](#)
- b. Provide the citation(s) for this policy or procedure. *[Click or tap here to enter text.](#)*

- c. List the entity(ies) in your state/territory that are responsible for conducting inspections of license-exempt CCDF providers: [Click or tap here to enter text.](#)

5.4.5 Licensing Inspectors (or qualified inspectors designated by the Lead Agency).

Lead Agencies will have policies and practices that ensure that individuals who are hired as licensing inspectors (or qualified monitors designated by the Lead Agency) 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 state's licensure requirements (658E(c)(2)(K)(i)(I); 98.42(b)(1-2)).

- a. To certify, describe how the Lead Agency ensures that licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified to inspect child care facilities and providers [Click or tap here to enter text.](#)
- b. To certify, describe how inspectors and monitors 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)(1-2)). [Click or tap here to enter text.](#)
- c. Provide the citation(s) for this policy or procedure. [Click or tap here to enter text.](#)

5.4.6 The states and territories shall have policies and practices that require the ratio of licensing inspectors to child care providers and facilities in the state/territory to be maintained at a level sufficient to enable the state/territory to conduct effective inspections of child care providers and facilities on a timely basis in accordance with federal, state, and local laws (658E(c)(2)(K)(i)(III); 98.42(b)(3)).

- a. To certify, describe the state/territory policies and practices regarding the ratio of licensing inspectors to child care providers (i.e. number of inspectors per number of child care providers) and facilities in the state/territory and include how the ratio is sufficient to conduct effective inspections on a timely basis. [Click or tap here to enter text.](#)
- b. Provide the policy citation and state/territory ratio of licensing inspectors. [Click or tap here to enter text.](#)

5.5 Comprehensive Background Checks

The CCDBG Act requires states and territories to have in effect requirements, policies and procedures to conduct comprehensive 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 state/territory law; or, 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 has unsupervised access to children (98.43(2)). For family child care 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(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(2)(B)(ii)). Exemptions for relative providers will be addressed in 5.6.5.

A comprehensive background check must include eight (8) separate and specific components (98.43(2)(b)), which encompass three (3) in-state checks, two (2) national checks, and three (3) interstate checks (if the individual resided in another state in the preceding 5 years).

- 5.5.1 Background Check Requirements. In the table below, certify by checking that the state has policies, and is conducting checks for the required background check components, ensuring that these requirements are in place for all licensed, regulated, or registered child care providers and for all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible providers), in accordance with 98.43(a)(1)(i), 98.43(a)(2) and 98.16(o).

a. Components of In-State Background Checks

Component	Licensed, regulated, or registered child care providers	All other providers eligible to deliver CCDF Services
i. Criminal registry or repository using fingerprints in the current state of residency	☐	☐
	Citation: Click or tap here to enter text.	Citation: Click or tap here to enter text.
ii. Sex offender registry or repository check in the current state of residency	☐	☐
	Citation: Click or tap here to enter text.	Citation: Click or tap here to enter text.
iii. Child abuse and neglect registry and database check in the current state of residency	☐	☐
	Citation: Click or tap here to enter text.	Citation: Click or tap here to enter text.

b. Components of National Background Check

Component	Licensed, regulated, or registered child care providers	All other providers eligible to deliver CCDF Services
i. FBI Fingerprint Check	☐	☐
	Citation: Click or tap here to enter text.	Citation: Click or tap here to enter text.
ii. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) name-based search	☐	☐
	Citation: Click or tap here to enter text.	Citation: Click or tap here to enter text.

c. Components of Interstate Background Checks

Component	Licensed, regulated, or registered child care providers	All other providers eligible to deliver CCDF Services
i. Criminal registry or repository in any other state where the individual has resided in the past 5 years, with the use of fingerprints being optional. Note: It is optional to use a fingerprint to conduct this check. Searching a general public facing judicial website does not satisfy this requirement. This check must be completed in addition to the national FBI history check to mitigate any gaps that may exist between the two sources (unless the responding state participates in the National Fingerprint File program).	☐	☐
	Citation: Click or tap here to enter text.	Citation: Click or tap here to enter text.
ii. Sex offender registry or repository in any other state where the individual has resided in the past 5 years. Note: It is optional to use a fingerprint to conduct this check. This check must be completed in addition to the National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) to mitigate any gaps that may exist between the two sources.	☐	☐
	Citation: Click or tap here to enter text.	Citation: Click or tap here to enter text.
	☐	☐

Component	Licensed, regulated, or registered child care providers	All other providers eligible to deliver CCDF Services
iii. Child abuse and neglect registry and database in any other state where the individual has resided in the past 5 years Note: This is a name-based search	Citation: Click or tap here to enter text.	Citation: Click or tap here to enter text.

5.5.2 Procedures for a Provider to Request a Background Check.

Child care providers are required to submit requests for background checks for each of their staff members to the appropriate state or territorial agency, which is to be defined clearly on the state or territory Web site. Family child care home providers must also submit background check requests for all household members over the age of 18. The requests must be submitted prior to when the individual becomes a staff member and must be completed at least once every five years per § 98.43(d)(1) and (2). The state or territory must ensure that its policies and procedures under this section, including the process by which a child care provider or other state or territory may submit a background check request, are published on the web site of the state or territory as described in § 98.43(g) and the web site of local lead agencies.

- a. Describe the state/territory procedure(s) for a provider to request the required background checks. If the process is different based on provider type, please include that in this description. If the process is different based on each background check component, please include that in this description. [Click or tap here to enter text.](#)
- b. The state/territory must ensure that fees charged for completing the background checks do not exceed the actual cost of processing and administration, regardless of whether they are conducted by the state/territory or a third-party vendor or contractor. What are the fees and how do you ensure that these fees do not exceed the actual cost of processing and administering the background checks? Lead Agencies can report that no fees are charged if applicable (98.43(f)). [Click or tap here to enter text.](#)
- c. Describe the state/territory policy(ies) related to prospective staff members working on a provisional basis. Pending completion of all background check components in 98.43(b), the prospective staff member must be supervised at all times by an individual who received a qualifying result on a background check described in 98.43(b) within the past 5 years (98.43(c)(4)) and the prospective staff member must have completed and received satisfactory results on either the FBI fingerprint check or a fingerprint check of the state/territory criminal registry or repository in the state where the prospective staff member resides. Describe and include a citation for the Lead Agency's policy: [Click or tap here to enter text.](#)
- d. Describe the procedure for providers to request background checks for staff members that resided in another state within the previous 5 years. [Click or tap here to enter text.](#)
- e. Describe the procedure to ensure each staff member completes all components of the background check process at least once during each 5-year period. If your state enrolls child care staff members in the FBI Rap Back Program or a state-based rap back program, please include that in this description. Note: An FBI Rap Back program only covers the FBI Fingerprint component of the background check. If child care staff members are enrolled in a

state-based rap back, please indicate which background check components are covered by this service. [Click or tap here to enter text.](#)

- f. Describe the procedure to ensure providers who are separated from employment for more than 180 consecutive days receive a full background check. [Click or tap here to enter text.](#)
- g. Provide the website link that contains instructions on how child care providers should initiate background check requests for a prospective employee (98.43(g)).
[Click or tap here to enter text.](#)

5.5.3 Procedures for a Lead Agency to Respond to and Complete a Background Check.

Once a request has been initiated, the state shall carry out the request of a child care provider for a criminal background check as expeditiously as possible, but not to exceed 45 days after the date on which such request was submitted. The Lead Agency shall make the determination whether the prospective staff member is eligible for employment in a child care program (98.43(e)(1)). Lead Agencies must ensure the privacy of background checks by providing the results of the criminal background check to the requestor or identified recipient in a statement that indicates whether a child care staff member (including a prospective child care staff member or a family child care household member over the age of 18) is eligible or ineligible for employment, without revealing any documentation of criminal history or disqualifying crimes or other related information regarding the individual. In the following questions, describe the Lead Agency's procedures for conducting background checks. These responses should include:

- The name of the agency that conducts the investigation; include multiple names if multiple agencies are involved in different background check components
 - How the Lead Agency is informed of the results of each background check component
 - Who makes the determinations regarding the staff member's eligibility? Note: Disqualification decisions should align to the response provided in 5.5.7.
 - How the Lead Agency ensures that a background check request is carried out as quickly as possible and not more than 45 days after a request is submitted.
- a. Describe the procedures for conducting In-State Background Check requests and making a determination of eligibility. [Click or tap here to enter text.](#)
 - b. If the procedure is different for National Background checks, including the name-based NCIC NSOR check and FBI fingerprint check, please describe here. [Click or tap here to enter text.](#)
 - c. Describe the procedures for conducting Interstate Background Check requests and making a determination of eligibility. (Note this response should detail how a state conducts an interstate check for a provider who currently lives in their state or territory but has lived in another state(s) within the previous five years). [Click or tap here to enter text.](#)
 - d. Describe the procedure the Lead Agency has in place to make an eligibility determination in the event not all the components of the background check are completed within the required 45-day timeframe. [Click or tap here to enter text.](#)
 - e. Describe procedures for conducting a check when the state of residence is different than the state in which the staff member works. [Click or tap here to enter text.](#)

5.5.4 State designation as a “Compact State” and participation in the National Fingerprint File program.

- a. “Compact States” are states that have ratified the National Crime Prevention and Privacy Compact Act of 1998 in order to facilitate electronic information sharing for noncriminal justice purposes (such as employment) among the Federal Government and states. More information can be found here: <https://www.fbi.gov/services/cjis/compact-council>. The Compact allows signatory states to disseminate its criminal history record information to other states for noncriminal justice purposes in accordance with the laws of the receiving state. For the most up-to-date Compact States and Territories map visit: <https://www.fbi.gov/services/cjis/compact-council/maps>. Is your state or territory a Compact State?
- ☐ No
- ☐ Yes
- b. The National Fingerprint File (NFF) is a database of fingerprints, or other unique personal identification information relating to an arrested or charged individual, which is maintained by the FBI to provide positive fingerprint identification of record subjects. Only a state or territory that has ratified the Compact (a Compact State) may join the NFF program. An FBI fingerprint check satisfies the requirement to perform an interstate check of another state’s criminal history record repository if the responding state (where the child care staff member has resided within the past 5 years) participates in the NFF program. It is unnecessary to conduct both the FBI fingerprint check and the search of an NFF state’s criminal history record repository (refer to CCDF-ACF-PIQ-2017-01). For the most up-to-date NFF Participation map visit: <https://www.fbi.gov/services/cjis/compact-council/maps>. Is your state or territory an NFF State?
- ☐ No
- ☐ Yes

5.5.5 Procedures for a Lead Agency to Respond to Interstate Background Checks:

- a. Interstate Criminal History Registry Check Procedures
- Provide a description of how the state or territory responds to interstate criminal history check requests from another state and whether there are any laws or policies that prevent the state from releasing certain criminal history information to an out-of-state entity for civil purpose (i.e., for purposes of determining employment eligibility). [Click or tap here to enter text.](#)
- b. Interstate Sex Offender Registry Check Procedures
- Provide a description of how the state or territory responds to interstate sex offender history check requests from another state and whether there are any laws or policies that prevent the state from releasing certain sex offender information to an out-of-state entity for civil purpose (i.e., for purposes of determining employment eligibility). [Click or tap here to enter text.](#)
- c. Interstate Child Abuse and Neglect Registry Check Procedures
- Provide a description of how the state or territory responds to interstate child abuse and neglect history check requests from another state and whether there are any laws or policies

that prevent the state from releasing certain child abuse and neglect information to an out-of-state entity for civil purpose (i.e., for purposes of determining employment eligibility).

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

5.5.6 Consumer Education Website Links to Interstate Background Check Processes

Lead Agencies must have requirements, policies, and procedures in place to respond as expeditiously as possible to other States', Territories' and Tribes' requests for background checks in order to meet the 45-day timeframe (98.43(a)(1)(iii)). In addition, Lead Agencies are required to include on their consumer education website the process by which another Lead Agency may submit a background check request, along with all of the other background check policies and procedures (98.43 (g)).

State and Territory Lead Agencies are required to designate one page of their existing Consumer Education Website as a landing page for all interstate background check related processes and procedures pertaining to their own state. The purpose of having a dedicated interstate background check web page on the Lead Agency Consumer Education Website is to help state and territories implement the interstate background check requirements of the CCDBG Act (CCDF Consumer Education Website and Reports of Serious Injuries and Death (OMB #0970-0473)).

Check to certify that the required elements are included on the Lead Agency's consumer education website for each interstate background check component, and provide the direct URL/website link.

Note: The links provided below should be a part of your consumer education website identified in 2.3.11.

a. Interstate Criminal Background Check:

- ☐ i. Agency Name
- ☐ ii. Address
- ☐ iii. Phone Number
- ☐ iv. Email
- ☐ v. FAX
- ☐ vi. Website
- ☐ vii. Instructions ((e.g. Does a portal/system account need to be created to make a request? What types of identification are needed? What types of payment is accepted? How can a provider appeal the results? How will forms will be accepted and FAQs?))
- ☐ viii. Forms
- ☐ ix. Fees
- ☐ x. Is the state a National Fingerprint File (NFF) state?
- ☐ xi. Is the state a National Crime Prevention and Privacy Compact State?
- ☐ xii. Direct URL/website link to where this information is posted. [Click or tap](#)

here to enter text.

b. Interstate Sex Offender Registry (SOR) Check: Click or tap here to enter text.

- ☐ i. Agency Name
- ☐ ii. Address
- ☐ iii. Phone Number
- ☐ iv. Email
- ☐ v. FAX
- ☐ vi. Website
- ☐ vii. Instructions ((e.g. Does a portal/system account need to be created to make a request? What types of identification are needed? What types of payment is accepted? How can a provider appeal the results? How will forms will be accepted and FAQs?))
- ☐ viii. Forms
- ☐ ix. Fees
- ☐ x. Direct URL/website link to where this information is posted. *Click or tap here to enter text.*

c. Interstate Child Abuse and Neglect (CAN) Registry Check:

- ☐ i. Agency Name
- ☐ ii. Is the CAN check conducted through a County Administered Registry or Centralized Registry?
- ☐ iii. Address
- ☐ iv. Phone Number
- ☐ v. Email
- ☐ vi. FAX
- ☐ vii. Website
- ☐ viii. Instructions ((e.g. Does a portal/system account need to be created to make a request? What types of identification is needed? What types of payment is accepted? How can a provider appeal the results? How will forms will be accepted and FAQs?))
- ☐ ix. Forms
- ☐ x. Fees
- ☐ xi. Description of information that may be included in a response to a CAN registry check (including substantiated instances of child abuse and neglect accompanied by the State's definition of "substantiated")

instances of child abuse and neglect.

- ☐ xii. Direct URL/website link to where this information is posted. [Click or tap here to enter text.](#)

5.5.7 Child care staff members cannot be employed by a child care provider receiving CCDF subsidy funds if they refuse a background check, make materially false statements in connection with the background check, or are registered or required to be registered on the state or National Sex Offender Registry (98.43 (c)(1)(i-iii)). Potential staff members also cannot be employed by a provider receiving CCDF funds if they have been convicted of: a felony consisting of murder, child abuse or neglect, crimes against children, spousal abuse, crimes involving rape or sexual assault, kidnapping, arson, physical assault or battery, or—subject to an individual review (at the state/territory’s option)—a drug-related offense committed during the preceding 5 years; a violent misdemeanor committed as an adult against a child, including the following crimes—child abuse, child endangerment, or sexual assault; or a misdemeanor involving child pornography (98.43(c)(1)(iv-v)).

a. Does the state/territory disqualify child care staff members based on their conviction for any other crimes not specifically listed in 98.43(c)(i)?

☐ No

☐ Yes. If yes, describe other disqualifying crimes and provide the citation:

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

b. Describe how the Lead Agency notifies the applicant about their eligibility to work in a child care program. This description should detail how the Lead Agency ensures the privacy of background checks. Note: The Lead Agency may not publicly release the results of individual background checks. (98.43(e)(2)(iii)). [Click or tap here to enter text.](#)

c. Describe whether the state/territory has a review process for individuals disqualified due to a felony drug offense to determine if that individual is still eligible for employment (98.43 (e)(2-4)). [Click or tap here to enter text.](#)

5.5.8 Appeals Processes for Background Checks

States and territories shall provide for a process by which a child care program staff member (including a prospective child care staff member) may appeal the results of a background check to challenge the accuracy or completeness of the information contained in a staff member's background report. The state or territory shall ensure that:

- The child care staff member is provided with information related to each disqualifying crime in a report, along with information/notice on the opportunity to appeal
 - A child care staff member will receive clear instructions about how to complete the appeals process for each background check component if the child care staff member wishes to challenge the accuracy or completeness of the information contained in such member's background report
 - If the staff member files an appeal, the state or territory will attempt to verify the accuracy of the information challenged by the child care staff member, including making an effort to locate any missing disposition information related to the disqualifying crime
 - The appeals process is completed in a timely manner for any appealing child care staff member
 - Each child care staff member shall receive written notice of the decision. In the case of a negative determination, the decision should indicate 1) the state's efforts to verify the accuracy of information challenged by the child care staff member, 2) any additional appeals rights available to the child care staff member, and 3) information on how the individual can correct the federal or state records at issue in the case. (98.43(e)(3))
 - The Lead Agency must work with other agencies that are in charge of background check information and results (such as the Child Welfare office and the State Identification Bureau), to ensure the appeals process is conducted in accordance with the Act.
- a. What is the procedure for each applicant to appeal or challenge the accuracy or completeness of the information contained in the background check report? If there are different appeal process procedures for each component of the check, please provide that in this description, including information on which state agency is responsible for handling each type of appeal. Note: The FBI Fingerprint Check, State Criminal Fingerprint, and NCIC NSOR checks are usually conducted by a state's Identification Bureau and **may** have different appeal processes than agencies that conduct the state CAN and state SOR checks. [Click or tap here to enter text.](#)
- b. If the appeals process is different for interstate checks, what is the procedure for each applicant to appeal or challenge the accuracy or completeness of the information contained in the background report for interstate checks? [Click or tap here to enter text.](#)
- c. Interstate Child Abuse and Neglect (CAN) Registry Check: [Click or tap here to enter text.](#)

5.6 Exemptions for Relative Providers

States and territories 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 certain health and safety requirements. Note: This exception applies if the individual cares only for relative children.

Check and describe where applicable the policies that the Lead Agency has regarding exemptions for eligible relative providers for the following health and safety requirements. The description should include the health and safety requirements relatives are exempt from, if applicable, as well as which of the federally defined relatives the exemption applies to.

5.6.1 Licensing Requirements (as described in Section 5.1)

- ☐ a. Relative providers are exempt from all licensing requirements.
- ☐ b. Relative providers are exempt from a portion of licensing requirements. Describe. [Click or tap here to enter text.](#)
- ☐ c. Relative providers must fully comply with all licensing requirements.

5.6.2 Health and Safety Standards (as described in Section 5.2 and 5.3)

- ☐ a. Relative providers are exempt from all health and safety standard requirements
- ☐ b. Relative providers are exempt from a portion of health and safety standard requirements. Describe. [Click or tap here to enter text.](#)
- ☐ c. Relative providers must fully comply with all health and safety standard requirements.

5.6.3 Health and Safety Training (as described in Section 5.3)

- ☐ a. Relative providers are exempt from all health and safety training requirements.
- ☐ b. Relative providers are exempt from a portion of all health and safety training requirements. Describe. [Click or tap here to enter text.](#)
- ☐ c. Relative providers must fully comply with all health and safety training requirements.

5.6.4 Monitoring and Enforcement (as described in Section 5.4)

- ☐ a. Relative providers are exempt from all monitoring and enforcement requirements.
- ☐ b. Relative providers are exempt from a portion of monitoring and enforcement requirements. Describe. [Click or tap here to enter text.](#)
- ☐ c. Relative providers must fully comply with all monitoring and enforcement requirements.

5.6.5 Background Checks (as described in Section 5.5)

- ☐ a. Relative providers are exempt from all background check requirements.
- ☐ b. Relative providers are exempt from a portion of background check requirements. If checked, identify the background check components that relatives must complete:

- ☐ i. Criminal registry or repository using fingerprints in the current state of residency
 - ☐ ii. Sex offender registry or repository in the current state of residency
 - ☐ iii. Child abuse and neglect registry and database check in the current state of residency
 - ☐ iv. FBI fingerprint check
 - ☐ v. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) name based search.
 - ☐ vi. Criminal registry or repository in any other state where the individual has resided in the past five years.
 - ☐ vii. Sex offender registry or repository in any other state where the individual has resided in the past five years.
 - ☐ viii. Child abuse and neglect registry or data base in any other state where the individual has resided in the past five years.
- ☐ c. Relative providers must fully comply with all background check requirements.

6 Recruit and Retain a Qualified and Effective Child Care Workforce

This section covers the state or territory framework for training, professional development, and post-secondary education (98.44(a)); provides a description of strategies used to strengthen the business practices of child care providers (98.16(z)) and addresses early learning and developmental guidelines.

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 for and access to high-quality child care (98.53). This section addresses the quality improvement activities implemented by the Lead Agency related to the support of the child care workforce and the development and implementation of early learning and developmental guidelines. It asks Lead Agencies to describe the measurable indicators of progress used to evaluate state/territory progress in improving the quality of child care services. (98.53 (f)) in either of these two areas.

States and territories are required to describe their framework for training, professional development, and post-secondary education for caregivers, teachers, and directors, including those working in school-age care (98.44(a)). This framework is part of a broader systematic approach building on health and safety training (as described in section 5) within a state/territory. States and territories must incorporate their knowledge and application of health and safety standards, early learning guidelines, responses to challenging behavior, and the engagement of families. States and territories are required to establish a progression of professional development opportunities to improve the knowledge and skills of CCDF providers (658E(c)(2)(G)). To the extent practicable, professional development should be appropriate to work with a population of children of different ages, English-language learners, children with disabilities, and Native Americans (98.44(b)(2)(iv)). Training and professional development is one of the options that states and territories have for investing their CCDF quality funds (658G(b)(1)).

6.1 Professional Development Framework

- 6.1.1 Each state or territory must describe their professional development framework for training, professional development, and post-secondary education for caregivers, teachers and directors in programs that serve children of all ages. This framework should be developed in consultation with the State Advisory Council on Early Childhood Education and Care or similar coordinating body. The framework should include these components:
- (1) professional standards and competencies, (2) career pathways, (3) advisory structures, (4) articulation, (5) workforce information, and (6) financing (98.44(a)(3)). Flexibility is provided on the strategies, breadth, and depth with which states and territories will develop and implement their framework.

- a. Describe how the state/territory's framework for training and professional development addresses the following required elements:
 - i. State/territory professional standards and competencies. Describe: [Click or tap here to enter text.](#)
 - ii. Career pathways. Describe: [Click or tap here to enter text.](#)
 - iii. Advisory structure. Describe: [Click or tap here to enter text.](#)

- iv. Articulation. Describe: [Click or tap here to enter text.](#)
 - v. Workforce information. Describe: [Click or tap here to enter text.](#)
 - vi. Financing. Describe: [Click or tap here to enter text.](#)
- b. The following are optional elements, or elements that should be implemented to the extent practicable, in the training and professional development framework.
- ☐ i. Continuing education unit trainings and credit-bearing professional development to the extent practicable. Describe: [Click or tap here to enter text.](#)
 - ☐ ii. Engagement of training and professional development providers, including higher education, in aligning training and educational opportunities with the state/territory's framework. Describe: [Click or tap here to enter text.](#)
 - ☐ iii. Other. Describe: [Click or tap here to enter text.](#)
- 6.1.2 Describe how the state/territory developed its professional development framework in consultation with the State Advisory Council on Early Childhood Education and Care (if applicable) or similar coordinating body if there is no SAC that addresses the professional development, training, and education of child care providers and staff.
[Click or tap here to enter text.](#)
- 6.1.3 Describe how the framework improves the quality, diversity, stability, and retention of caregivers, teachers, and directors (98.44(a)(7)). [Click or tap here to enter text.](#)

6.2 Training and Professional Development Requirements

The Lead Agency must describe how its established health and safety requirements for pre-service or orientation training and ongoing professional development requirements—as described in Section 5 for caregivers, teachers, and directors in CCDF programs—align, to the extent practicable, with the state/territory professional development framework. These requirements must be 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)).

- 6.2.1 Describe how the state/territory incorporates into training and professional development opportunities:
- the knowledge and application of its early learning and developmental guidelines (where applicable);
 - its health and safety standards (as described in section 5);
 - and social-emotional/behavioral and mental health intervention models for young children, which can include positive behavior intervention and support models that reduce the likelihood of suspension and expulsion of children (as described in Section 2 of the Pre-Print) (98.44(b)).
[Click or tap here to enter text.](#)
- 6.2.2 Describe how the state/territory's training and professional development are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF funds (as applicable) (98.44(b)(2)(vi)). [Click or tap here to enter text.](#)
- 6.2.3 States/territories are required to facilitate participation of child care providers with limited English proficiency and disabilities in the subsidy system (98.16 (dd)). Describe how the state/territory will recruit and facilitate the participation of providers in the subsidy system:
- a. with limited English proficiency. [Click or tap here to enter text.](#)
 - b. who have disabilities. [Click or tap here to enter text.](#)
- 6.2.4 Describe how the state/territory's training and professional development requirements are appropriate, to the extent practicable, for child care providers who care for children receiving child care subsidies, including children of different age groups (such as specialized credentials for providers who care for infants and/or school-age children); English-language learners; children with developmental delays and disabilities; and Native Americans, including Indians as defined in Section 4 of the Indian Self-Determination and Education Assistance Act (including Alaska Natives) and Native Hawaiians (98.44(b)(2)(iv)). [Click or tap here to enter text.](#)
- 6.2.5 The Lead Agency must provide training and technical assistance (TA) to providers and appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (658E(c)(3)(B)(i)).
- a. Describe the state/territory's training and TA efforts for providers in identifying and serving children and their families experiencing homelessness (relates to question 3.2.2).
[Click or tap here to enter text.](#)
 - b. Describe the state/territory's training and TA efforts for Lead Agency (or designated entity) staff in identifying and serving children and their families experiencing homelessness (connects to question 3.3.6). [Click or tap here to enter text.](#)
- 6.2.6 Lead Agencies must develop and implement strategies to strengthen the business practices of child care providers to expand the supply and to improve the quality of child care services (98.16 (z)). Describe the state/territory's strategies to strengthen providers' business practices, which can include training and/or TA efforts.
- a. Describe the strategies that the state/territory is developing and implementing for strengthening child care providers' business practices. [Click or tap here to enter text.](#)

- b. Check the topics addressed in the state/territory's strategies for strengthening child care providers' business practices. Check all that apply.
- ☐ i. Fiscal management
 - ☐ ii. Budgeting
 - ☐ iii. Recordkeeping
 - ☐ iv. Hiring, developing, and retaining qualified staff
 - ☐ v. Risk management
 - ☐ vi. Community relationships
 - ☐ vii. Marketing and public relations
 - ☐ viii. Parent-provider communications, including who delivers the training, education, and/or technical assistance
 - ☐ ix. Other. Describe: [Click or tap here to enter text.](#)

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

Lead Agencies can invest CCDF quality funds in the training, professional development, and post-secondary education of the child care workforce as part of a progression of professional development activities, such as those included at 98.44 of the CCDF Rule, and those included in the activities to improve the quality of child care also addressed in Section 7 (98.53(a)(1)).

6.3.1 Training and professional development of the child care workforce.

- a. In the table below, describe which content is included in training and professional development activities and how an entity is funded to address this topic. Then identify which types of providers are included in these activities. Check all that apply.

What content is included under each of these training topics and what type of funds are used for this activity?	Which type of providers are included in these training and professional development activities?				
	<i>Licensed center-based</i>	<i>License exempt center-based</i>	<i>Licensed family child care home</i>	<i>License-exempt family child care home</i>	<i>In-home care (care in the child's own home)</i>
i. Promoting the social, emotional, physical, and cognitive development of children, including those efforts related to nutrition and physical activity, using scientifically based, developmentally appropriate, and age-appropriate strategies (98.53 (a)(1)(i)(A)).	☐	☐	☐	☐	☐

What content is included under each of these training topics and what type of funds are used for this activity?	Which type of providers are included in these training and professional development activities?				
	<i>Licensed center-based</i>	<i>License exempt center-based</i>	<i>Licensed family child care home</i>	<i>License-exempt family child care home</i>	<i>In-home care (care in the child's own home)</i>
Describe the content and funding: Click or tap here to enter text.					
ii. Implementing behavior management strategies, including positive behavior interventions and support models that promote positive social-emotional development and the mental health of young children and that reduce challenging behaviors, including a reduction in expulsions of preschool-age children from birth to age five for such behaviors. (See also section 2.4.5.) (98.53(a)(1)(iii)). Describe the content and funding: Click or tap here to enter text.	☐	☐	☐	☐	☐
iii. Engaging parents and families in culturally and linguistically appropriate ways to expand their knowledge, skills, and capacity to become meaningful partners in supporting their children's positive development. (98.53(a)(1)(iv)). Describe the content and funding: Click or tap here to enter text.	☐	☐	☐	☐	☐
iv. Implementing developmentally appropriate, culturally and linguistically responsive instruction, and evidence-based curricula, and designing learning environments that are aligned with state/territory early learning and developmental standards (98.15 (a)(9)). Describe the content and funding: Click or tap here to enter text.	☐	☐	☐	☐	☐

What content is included under each of these training topics and what type of funds are used for this activity?	Which type of providers are included in these training and professional development activities?				
	<i>Licensed center-based</i>	<i>License exempt center-based</i>	<i>Licensed family child care home</i>	<i>License-exempt family child care home</i>	<i>In-home care (care in the child's own home)</i>
v. Providing onsite or accessible comprehensive services for children and developing community partnerships that promote families' access to services that support their children's learning and development. Describe the content and funding: Click or tap here to enter text.	☐	☐	☐	☐	☐
vi. Using data to guide program evaluation to ensure continuous improvement 98.53(a)(1)(ii)). Describe the content and funding: Click or tap here to enter text.	☐	☐	☐	☐	☐
vii. Caring for children of families in geographic areas with significant concentrations of poverty and unemployment. Describe the content and funding: Click or tap here to enter text.	☐	☐	☐	☐	☐
viii. Caring for and supporting the development of children with disabilities and developmental delays 98.53 (a)(1)(i)(B). Describe the content and funding: Click or tap here to enter text.	☐	☐	☐	☐	☐
ix. Supporting the positive development of school-age children (98.53(a)(1)(iii)). Describe the content and funding: Click or tap here to enter text.	☐	☐	☐	☐	☐
x. Other.	☐	☐	☐	☐	☐

What content is included under each of these training topics and what type of funds are used for this activity?	Which type of providers are included in these training and professional development activities?				
	<i>Licensed center-based</i>	<i>License exempt center-based</i>	<i>Licensed family child care home</i>	<i>License-exempt family child care home</i>	<i>In-home care (care in the child's own home)</i>
Describe: Click or tap here to enter text.					

- b. Check how the state/territory connects child care providers with available federal and state/territory financial aid or other resources to pursue post-secondary education relevant for the early childhood and school-age workforce and then identify which providers are eligible for this activity. Check all that apply.

		<i>Licensed center- based</i>	<i>License- exempt center- based</i>	<i>Licensed family child care home</i>	<i>License exempt family child care home</i>	<i>In-home care (care in the child's own home)</i>
☐	i. Coaches, mentors, consultants, or other specialists available to support access to post-secondary training, including financial aid and academic counseling.	☐	☐	☐	☐	☐
☐	ii. Statewide or territory-wide, coordinated, and easily accessible clearinghouse (i.e., an online calendar, a listing of opportunities) of relevant post-secondary education opportunities.	☐	☐	☐	☐	☐
☐	iii. Financial awards such as scholarships, grants, loans, or reimbursement for expenses and/or training, from the state/territory to complete post-secondary education.	☐	☐	☐	☐	☐
☐	iv. Other. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐

6.3.2 Describe the measurable indicators of progress relevant to subsection 6.3 that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. [Click or tap here to enter text.](#)

6.4 Early Learning and Developmental Guidelines

- 6.4.1 States and territories are required to develop, maintain, or implement early learning and developmental guidelines that are appropriate for children in a forward progression from birth to kindergarten entry (i.e., birth to three, three to five, birth to five), describing what children should know and be able to do and covering the essential domains of early childhood development. These early learning and developmental guidelines are to be used statewide and territory-wide by child care providers and in the development and implementation of training and professional development (658E(c)(2)(T)). The required essential domains for these guidelines are cognition, including language arts and mathematics; social, emotional, and physical development; and approaches toward learning (98.15(a)(9)). At the option of the state/territory, early learning and developmental guidelines for out-of-school time may be developed. Note: States and territories may use the quality set-aside, discussed in section 7, to improve on the development or implementation of early learning and developmental guidelines.
- a. Describe how the state/territory's early learning and developmental guidelines address the following requirements:
 - i. Are research-based. [Click or tap here to enter text.](#)
 - ii. Developmentally appropriate. [Click or tap here to enter text.](#)
 - iii. Culturally and linguistically appropriate. [Click or tap here to enter text.](#)
 - iv. Aligned with kindergarten entry. [Click or tap here to enter text.](#)
 - v. Appropriate for all children from birth to kindergarten entry. [Click or tap here to enter text.](#)
 - vi. Implemented in consultation with the educational agency and the State Advisory Council or similar coordinating body. [Click or tap here to enter text.](#)
 - b. Describe how the required domains are included in the state/territory's early learning and developmental guidelines. Responses for "other" are optional.
 - i. Cognition, including language arts and mathematics. [Click or tap here to enter text.](#)
 - ii. Social development. [Click or tap here to enter text.](#)
 - iii. Emotional development. [Click or tap here to enter text.](#)
 - iv. Physical development. [Click or tap here to enter text.](#)
 - v. Approaches toward learning. [Click or tap here to enter text.](#)
 - vi. Describe how other optional domains are included, if any:
[Click or tap here to enter text.](#)
 - c. Describe how the state/territory's early learning and developmental guidelines are updated and include the date first issued and/or the frequency of updates.
[Click or tap here to enter text.](#)
 - d. If applicable, discuss the state process for the adoption, implementation, and continued improvement of state out-of-school time standards. [Click or tap here to enter text.](#)
 - e. Provide the Web link to the state/territory's early learning and developmental guidelines and if available, the school-age guidelines. [Click or tap here to enter text.](#)
- 6.4.2 CCDF funds cannot be used to develop or implement an assessment for children that:
- Will be the primary or sole basis to determine a child care provider ineligible to participate in the CCDF

- Will be used as the primary or sole basis to provide a reward or sanction for an individual provider
- Will be used as the primary or sole method for assessing program effectiveness
- Will be used to deny children eligibility to participate in the CCDF (658E(c)(2)(T)(ii)(I); 98.15(a)(2))

Describe how the state/territory's early learning and developmental guidelines are used.

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

- 6.4.3 If quality funds are used to develop, maintain, or implement early learning and development guidelines, describe the measurable indicators that will be used to evaluate the state/territory's progress in improving the quality of child care programs and services and the data on the extent to which the state/territory has met these measures (98.53(f)(3)). [Click or tap here to enter text.](#)

7 Support Continuous Quality Improvement

Lead Agencies are required to 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 for and access to high-quality child care (98.53). The quality activities should be aligned with a statewide or territory-wide assessment of the state's or territory's need to carry out such services and care.

States and territories are required to report on these quality improvement investments through CCDF in three ways:

1. In the CCDF Plan, the ACF 118, states and territories will describe the types of activities supported by quality investments over the 3-year period (658G(b); 98.16(j)).
2. In the annual expenditure report, the ACF-696, ACF will collect data on how much CCDF funding is spent on quality activities. This report will be used to determine compliance with the required quality and infant and toddler spending requirements (658G(d)(1); 98.53(f)).
3. For each year of the Plan period, states and territories will submit a Quality Progress Report, the ACF 218, that will include a description of activities funded by quality expenditures and the measures used by the state/territory to evaluate its progress in improving the quality of child care programs and services within the state/territory (658G(d); 98.53(f)).

States and territories must fund efforts in at least one of the following 10 activities:

- Supporting the training and professional development of the child care workforce (Addressed in Section 6)
- Improving on the development or implementation of early learning and developmental guidelines (Addressed in Section 6)
- Developing, implementing, or enhancing a tiered quality rating and improvement system or other systems of quality improvement for child care providers and services
- Improving the supply and quality of child care programs and services for infants and toddlers

- Establishing or expanding a statewide system of child care resource and referral services
- Supporting compliance with state/territory requirements for licensing, inspection, monitoring, training, and health and safety (as described in section 5)
- Evaluating the quality of child care programs in the state/territory, including evaluating how programs positively impact children
- Supporting providers in the voluntary pursuit of accreditation
- Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development
- Performing other activities to improve the quality of child care services, as long as outcome measures relating to improved provider preparedness, child safety, child well-being, or kindergarten entry are possible

Throughout this Plan, states and territories will describe the types of quality improvement activities where CCDF investments are being made, including but not limited to, quality set-aside funds, and will describe the measurable indicators of progress used to evaluate state/territory progress in improving the quality of child care services for each expenditure (98.53(f)). These activities can benefit infants and toddlers through school-age populations, and all categories of care. It is important that while Lead Agencies have the flexibility to define “high quality” and develop strategies and standards to support their definition, Lead Agencies should consider how that definition and those strategies for different provider types reflect and acknowledge their unique differences and how quality varies in different settings, including family child care and small care settings as well as child care centers.

This section covers the quality activities needs assessment, quality improvement activities, and indicators of progress for each of the activities undertaken in the state or territory.

7.1 Quality Activities Needs Assessment for Child Care Services

- 7.1.1 Lead Agencies must invest in quality activities based on an assessment of the state/territory's needs to carry out those activities. Lead Agencies have the flexibility to design an assessment of their quality activities that best meet their needs, including how often they do the assessment. Describe your state/territory assessment process, including the frequency of assessment (658G(a)(1); 98.53(a)). [Click or tap here to enter text.](#)
- 7.1.2 Describe the findings of the assessment and if any overarching goals for quality improvement were identified. If applicable, include a direct URL/website link for any available evaluation or research related to the findings. [Click or tap here to enter text.](#)

7.2 Use of Quality Funds

- 7.2.1 Check the quality improvement activities in which the state/territory is investing.

Quality Improvement Activity	Type of funds used for this activity. Check all that apply.	Other funds: describe	Related Section
a. Supporting the training and professional development of the child care workforce as discussed in 6.2.	☐ i. CCDF funds ☐ ii. State general funds	Click or tap here to enter text.	6.3
b. Developing, maintaining, or implementing early learning and developmental guidelines.	☐ i. CCDF funds ☐ ii. State general funds	Click or tap here to enter text.	6.4
c. Developing, implementing, or enhancing a tiered quality rating and improvement system.	☐ i. CCDF funds ☐ ii. State general funds	Click or tap here to enter text.	7.3
d. Improving the supply and quality of child care services for infants and toddlers.	☐ i. CCDF funds ☐ ii. State general funds	Click or tap here to enter text.	7.4
e. Establishing or expanding a statewide system of	☐ i. CCDF funds	Click or tap here to enter text.	7.5

Quality Improvement Activity	Type of funds used for this activity. Check all that apply.	Other funds: describe	Related Section
CCR&R services, as discussed in 1.7.	☐ ii. State general funds		
f. Facilitating Compliance with State Standards	☐ i. CCDF funds ☐ ii. State general funds	Click or tap here to enter text.	7.6
g. Evaluating and assessing the quality and effectiveness of child care services within the state/territory.	☐ i. CCDF funds ☐ ii. State general funds	Click or tap here to enter text.	7.7
h. Accreditation Support	☐ i. CCDF funds ☐ ii. State general funds	Click or tap here to enter text.	7.8
i. Supporting state/territory or local efforts to develop high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development.	☐ i. CCDF funds ☐ ii. State general funds	Click or tap here to enter text.	7.9
j. Other activities determined by the state/territory to improve the quality of child care services and which measurement of outcomes related to improved provider preparedness, child safety, child well-being, or kindergarten entry is possible.	☐ i. CCDF funds ☐ ii. State general funds	Click or tap here to enter text.	7.10

7.3 Quality Rating and Improvement System (QRIS) or Another System of Quality Improvement

Lead Agencies may respond in this section based on other systems of quality improvement, even if not called a QRIS, as long as the other quality improvement system contains the elements of a QRIS. QRIS refers to a systematic framework for evaluating, improving, and communicating the level of quality in early childhood programs and contains five key elements:

1. Program standards
2. Supports to programs to improve quality
3. Financial incentives and supports
4. Quality assurance and monitoring
5. Outreach and consumer education

7.3.1 Does your state/territory have a quality rating and improvement system or another system of quality improvement?

- ☐ a. No, the state/territory has no plans for QRIS development. If no, skip to 7.4.1.
- ☐ b. No, but the state/territory is in the QRIS development phase. If no, skip to 7.4.1.
- ☐ c. Yes, the state/territory has a QRIS operating statewide or territory-wide. Describe how the QRIS is administered (e.g., statewide or locally or through CCR&R entities) and any partners, and provide a link, if available. [Click or tap here to enter text.](#)
- ☐ d. Yes, the state/territory has a QRIS initiative operating as a pilot-test in a few localities or only a few levels but does not have a fully operating initiative on a statewide or territory-wide basis. Provide a link, if available. [Click or tap here to enter text.](#)
- ☐ e. Yes, the state/territory has another system of quality improvement. Describe the other system of quality improvement and provide a link, if available. [Click or tap here to enter text.](#)

7.3.2 Indicate how providers participate in the state or territory's QRIS or another system of quality improvement.

- a. Are providers required to participate in the QRIS or another system of quality improvement? Check all that apply if response differs for different categories of care.
 - ☐ i. Participation is voluntary.
 - ☐ ii. Participation is partially mandatory. For example, participation is mandatory for providers serving children receiving a subsidy, participation is mandatory for all licensed providers or participation is mandatory for programs serving children birth to age 5 receiving a subsidy. If checked, describe the relationship between QRIS participation and subsidy (e.g., minimum rating required, reimbursed at higher rates for achieving higher ratings, participation at any level). [Click or tap here to enter text.](#)
 - ☐ iii. Participation is required for all providers.

- b. Which types of settings or distinctive approaches to early childhood education and care participate in the state/territory's QRIS or another system of quality improvement? Check all that apply.
- ☐ i. Licensed child care centers
 - ☐ ii. Licensed family child care homes
 - ☐ iii. License-exempt providers
 - ☐ iv. Early Head Start programs
 - ☐ v. Head Start programs
 - ☐ vi. State Prekindergarten or preschool programs
 - ☐ vii. Local district-supported Prekindergarten programs
 - ☐ viii. Programs serving infants and toddlers
 - ☐ ix. Programs serving school-age children
 - ☐ x. Faith-based settings
 - ☐ xi. Tribally operated programs
 - ☐ xiv. Other. Describe: [Click or tap here to enter text.](#)
- c. Describe how the Lead Agency's QRIS, or other system for improving quality, considers how quality may look different in the different types of provider settings which participate in the QRIS or other system of quality improvement. For instance, does the system of quality improvement consider what quality looks like in a family child care home with mixed-age groups vs. child care centers with separate age groups? Or are standards related to quality environments flexible enough to define quality in home-based environments, as well as child care center environments? [Click or tap here to enter text.](#)

7.3.3 Identify how the state or territory supports and assesses the quality of child care providers.

The Lead Agency may invest in the development, implementation, or enhancement of a tiered quality rating and improvement system for child care providers and services or another system of quality improvement. Note: If a Lead Agency decides to invest CCDF quality dollars in a QRIS, that agency can use the funding to assist in meeting consumer education requirements (98.33).

Do the state/territory's quality improvement standards align with or have reciprocity with any of the following standards?

- ☐ No
- ☐ Yes. If yes, check the type of alignment, if any, between the state/territory's quality standards and other standards. Check all that apply.
 - ☐ a. Programs that meet state/territory PreK standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, there is a reciprocal agreement between PreK programs and the quality improvement system).
 - ☐ b. Programs that meet federal Head Start Program Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is

the same, there is a reciprocal agreement between Head Start programs and the quality improvement system).

- ☐ c. Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, an alternative pathway exists to meeting the standards).
- ☐ d. Programs that meet all or part of state/territory school-age quality standards.
- ☐ e. Other. Describe: [Click or tap here to enter text.](#)

7.3.4 Do the state/territory's quality standards build on its licensing requirements and other regulatory requirements?

- ☐ No
- ☐ Yes. If yes, check any links between the state/territory's quality standards and licensing requirements.
 - ☐ a. Requires that a provider meet basic licensing requirements to qualify for the base level of the QRIS.
 - ☐ b. Embeds licensing into the QRIS.
 - ☐ c. State/territory license is a "rated" license.
 - ☐ d. Other. Describe: [Click or tap here to enter text.](#)

7.3.5 Does the state/territory provide financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services that are provided through the QRIS or another system of quality improvement.

- ☐ No
- ☐ Yes. If yes, check all that apply.

a. If yes, indicate in the table below which categories of care receive this support.

Financial incentive or other supports	Licensed center-based	License exempt center-based	Licensed family child care home	License-exempt family child care home	In-home (care in the child's own home)
i. One-time grants, awards, or bonuses	☐	☐	☐	☐	☐
ii. Ongoing or periodic quality stipends	☐	☐	☐	☐	☐
iii. Higher subsidy payments	☐	☐	☐	☐	☐
iv. Training or technical assistance related to QRIS	☐	☐	☐	☐	☐
v. Coaching/mentoring	☐	☐	☐	☐	☐

vi. Scholarships, bonuses, or increased compensation for degrees/certificates	☐	☐	☐	☐	☐
vii. Materials and supplies	☐	☐	☐	☐	☐
viii. Priority access for other grants or programs	☐	☐	☐	☐	☐
ix. Tax credits for providers	☐	☐	☐	☐	☐
x. Tax credits for parents	☐	☐	☐	☐	☐
xi. Payment of fees (e.g. licensing, accreditation)	☐	☐	☐	☐	☐

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

- 7.3.6 Describe the measurable indicators of progress relevant to subsection 7.3 that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. [Click or tap here to enter text.](#)

7.4 Improving the Supply and Quality of Child Care Programs and Services for Infants and Toddlers

Lead Agencies are required to spend 3 percent of their total CCDF expenditures on activities to improve the supply and quality of their infant and toddler care. This is in addition to the general quality set-aside requirement.

Lead Agencies are encouraged to use the required needs assessment to systematically review and improve the overall quality of care that infants and toddlers receive, the systems in place or needed to support and enhance the quality of infant and toddler providers, the capacity of the infant and toddler workforce to meet the unique needs of very young children, and the methods in place to increase the proportion of infants and toddlers in higher quality care, including any partnerships or coordination with Early Head Start and IDEA Part C programs.

- 7.4.1 Identify and describe the activities that are being implemented by the state/territory to improve the supply (see also section 4) and quality of child care programs and services for infants and toddlers and check which of the activities are available to each provider type.

	Activities available to improve the supply and quality of infant and toddler care.	Licensed center-based	License exempt center-based	Licensed family child care home	License-exempt family child care home	In-home care (care in the child's own home)
☐	a. Establishing or expanding high-quality community- or neighborhood-based family and child development centers. These	☐	☐	☐	☐	☐

	Activities available to improve the supply and quality of infant and toddler care.	Licensed center-based	License exempt center-based	Licensed family child care home	License-exempt family child care home	In-home care (care in the child's own home)
	centers can serve as resources to child care providers to improve the quality of early childhood services for infants and toddlers from low-income families and to improve eligible child care providers' capacity to offer high-quality, age-appropriate care to infants and toddlers from low-income families. Describe: Click or tap here to enter text.					
☐	b. Establishing or expanding the operation of community-based, neighborhood-based, or provider networks comprised of home-based providers, or small centers focused on expanding the supply of infant and toddler care. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	c. Providing training and professional development to enhance child care providers' ability to provide developmentally appropriate services for infants and toddlers. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	d. 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. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	e. 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.). Describe:	☐	☐	☐	☐	☐

	Activities available to improve the supply and quality of infant and toddler care.	Licensed center-based	License exempt center-based	Licensed family child care home	License-exempt family child care home	In-home care (care in the child's own home)
	Click or tap here to enter text.					
☐	f. Developing infant and toddler components within the state/territory's QRIS, including classroom inventories and assessments. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	g. Developing infant and toddler components within the state/territory's child care licensing regulations. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	h. Developing infant and toddler components within the early learning and developmental guidelines. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	i. 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. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	j. Carrying out other activities determined by the state/territory to improve the quality of infant and toddler care provided within the state/territory and for which there is evidence that the activities will lead to improved infant and toddler health and safety, cognitive and physical development, and/or well-being. Click or tap here to enter text.	☐	☐	☐	☐	☐

	Activities available to improve the supply and quality of infant and toddler care.	Licensed center-based	License exempt center-based	Licensed family child care home	License-exempt family child care home	In-home care (care in the child's own home)
☐	k. Coordinating with child care health consultants. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	l. Coordinating with mental health consultants. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	m. Establishing systems to collect real time data on available (vacant) slots in ECE settings, by age of child, quality level, and location of program. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐
☐	n. Other. Describe: Click or tap here to enter text.	☐	☐	☐	☐	☐

- 7.4.2 Describe the measurable indicators of progress relevant to subsection 7.4 that the state/territory will use to evaluate its progress in improving the quality of child care programs and services for infants and toddlers within the state/territory and the data on the extent to which the state or territory has met these measures. [Click or tap here to enter text.](#)

7.5 Child Care Resource and Referral

A Lead Agency may expend funds to establish, expand, or maintain a statewide system of child care resource and referral services (98.53(a)(5)). It can be coordinated, to the extent determined appropriate by the Lead Agency, by a statewide public or private non-profit, community-based, or regionally based lead child care resource and referral organization (658E(c)(3)(B)(iii)). This effort may include activities done by local or regional child care and resource referral agencies, as discussed in section 1.7.

- 7.5.1 What are the services provided by the local or regional child care and resource and referral agencies? [Click or tap here to enter text.](#)
- 7.5.2 Describe the measurable indicators of progress relevant to subsection 7.5 that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. [Click or tap here to enter text.](#)

7.6 Facilitating Compliance with State Standards

- 7.6.1 What activities does your state/territory fund with CCDF quality funds to facilitate child care providers' compliance with state/territory health and safety requirements? These requirements may be related to inspections, monitoring, training, compliance with health and safety standards, and with state/territory licensing standards as outlined in Section 5. Describe: [Click or tap here to enter text.](#)
- 7.6.2 Does the state/territory provide financial assistance to support child care providers in complying with minimum health and safety requirements?
- ☐ No
- ☐ Yes. If yes, which types of providers can access this financial assistance?
- ☐ a. Licensed CCDF providers
 - ☐ b. Licensed non-CCDF providers
 - ☐ c. License-exempt CCDF providers
 - ☐ d. Other. Describe: [Click or tap here to enter text.](#)

- 7.6.3 Describe the measurable indicators of progress relevant to subsection 7.6 that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. [Click or tap here to enter text.](#)

7.7 Evaluating and Assessing the Quality and Effectiveness of Child Care Programs and Services

- 7.7.1 Does the state/territory measure the quality and effectiveness of child care programs and services in both child care centers and family child care homes?

- ☐ No
- ☐ Yes. If yes, describe any tools used to measure child, family, teacher, classroom, or provider improvements, and how the state/territory evaluates how those tools positively impact children. [Click or tap here to enter text.](#)

- 7.7.2 Describe the measurable indicators of progress relevant to subsection 7.7 that the state/territory will use to evaluate its progress in improving the quality of child care programs and services in child care centers and family child care homes within the state/territory and the data on the extent to which the state or territory has met these measures. [Click or tap here to enter text.](#)

7.8 Accreditation Support

- 7.8.1 Does the state/territory 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?

- ☐ a. Yes, the state/territory has supports operating statewide or territory-wide for both child care centers and family child care homes. Describe the support efforts for all types of accreditation that the state/territory provides to child care centers and family child care homes to achieve accreditation. Is accreditation available for programs serving infants, toddlers, preschoolers and school-age children? [Click or tap here to enter text.](#)
- ☐ b. Yes, the state/territory has supports operating statewide or territory-wide for child care centers only. Describe the support efforts for all types of accreditation that the state/territory provides to child care centers. Describe: [Click or tap here to enter text.](#)
- ☐ c. Yes, the state/territory has supports operating statewide or territory-wide for family child care homes only. Describe the support efforts for all types of accreditation that the state/territory provides to family child care. Describe: [Click or tap here to enter text.](#)
- ☐ d. Yes, the state/territory has supports operating as a pilot-test or in a few localities but not statewide or territory-wide.
- ☐ i. Focused on child care centers. Describe: [Click or tap here to enter text.](#)

- ☐ ii. Focused on family child care homes. Describe: [Click or tap here to enter text.](#)
- ☐ e. No, but the state/territory is in the in the development phase of supporting accreditation.
 - ☐ i. Focused on child care centers. Describe: [Click or tap here to enter text.](#)
 - ☐ ii. Focused on family child care homes. Describe: [Click or tap here to enter text.](#)
- ☐ f. No, the state/territory has no plans for supporting accreditation.

7.8.2 Describe the measurable indicators of progress relevant to subsection 7.8 that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. [Click or tap here to enter text.](#)

7.9 Program Standards

7.9.1 Describe how the state/territory supports state/territory or local efforts to develop or adopt high-quality program standards, including standards for:

- a. Infants and toddlers [Click or tap here to enter text.](#)
- b. Preschoolers [Click or tap here to enter text.](#)
- c. and/or School-age children. [Click or tap here to enter text.](#)

7.9.2 Describe the measurable indicators of progress relevant to subsection 7.9 that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures. [Click or tap here to enter text.](#)

7.10 Other Quality Improvement Activities

7.10.1 List and describe any other activities that the state/territory provides to improve the quality of child care services for infants and toddlers, preschool-aged, and school-aged children, which may include consumer and provider education activities; and also describe the measurable indicators of progress for each activity relevant to this use of funds that the state/territory will use to evaluate its progress in improving provider preparedness, child safety, child well-being, or kindergarten entry, and the data on the extent to which the state or territory has met these measures. Describe: [Click or tap here to enter text.](#)

8 Ensure Grantee Program Integrity and Accountability

Program integrity and accountability activities are integral to the effective administration of the CCDF program. Lead Agencies are required to describe in their Plan effective internal controls that ensure integrity and accountability while maintaining the continuity of services (98.16(cc)). These accountability measures should address reducing fraud, waste, and abuse, including program violations and administrative errors.

This section includes topics on internal controls to ensure integrity and accountability and processes in place to investigate and recover fraudulent payments and to impose sanctions on

clients or providers in response to fraud. Respondents should consider how fiscal controls, program integrity, and accountability apply to:

- Memorandums of understanding (MOUs) within the Lead Agency's various divisions that administer or carry out the various aspects of CCDF
- MOUs, grants, or contracts to other state agencies that administer or carry out various aspects of CCDF
- Grants or contracts to other organizations that administer or carry out various aspects of CCDF, such as professional development and family engagement activities
- Internal processes for conducting child care provider subsidy

8.1 Internal Controls and Accountability Measures to Help Ensure Program Integrity

8.1.1 Lead Agencies must ensure the integrity of the use of funds through sound fiscal management and must ensure that financial practices are in place (98.68 (a)(1)). Describe the processes in place for the Lead Agency to ensure sound fiscal management practices for all expenditures of CCDF funds. Check all that apply:

- ☐ a. Verifying and processing billing records to ensure timely payments to providers. Describe: [Click or tap here to enter text.](#)
- ☐ b. Fiscal oversight of grants and contracts. Describe: [Click or tap here to enter text.](#)
- ☐ c. Tracking systems to ensure reasonable and allowable costs. Describe: [Click or tap here to enter text.](#)
- ☐ d. Other. Describe: [Click or tap here to enter text.](#)

8.1.2 Check and describe the processes that the Lead Agency will use to identify risk in their CCDF program (98.68(a)(2)). Check all that apply:

- ☐ a. Conduct a risk assessment of policies and procedures. Describe: [Click or tap here to enter text.](#)
- ☐ b. Establish checks and balances to ensure program integrity. Describe: [Click or tap here to enter text.](#)
- ☐ c. Use supervisory reviews to ensure accuracy in eligibility determination. Describe: [Click or tap here to enter text.](#)
- ☐ d. Other. Describe: [Click or tap here to enter text.](#)

8.1.3 States and territories are required to describe effective internal controls that are in place to ensure program integrity and accountability (98.68(a)), including processes to train child care providers and staff of the Lead Agency and other agencies engaged in the administration of CCDF about program requirements and integrity.

- a. Check and describe how the state/territory ensures that all providers for children receiving CCDF funds are informed and trained regarding CCDF requirements and integrity (98.68(a)(3)). Check all that apply.
 - ☐ i. Issue policy change notices. Describe: [Click or tap here to enter text.](#)

- ☐ ii. Issue policy manual. Describe: [Click or tap here to enter text.](#)
- ☐ iii. Provide orientations. [Click or tap here to enter text.](#)
- ☐ iv. Provide training. Describe: [Click or tap here to enter text.](#)
- ☐ v. Monitor and assess policy implementation on an ongoing basis. Describe: [Click or tap here to enter text.](#)
- ☐ vi. Meet regularly regarding the implementation of policies. Describe: [Click or tap here to enter text.](#)
- ☐ vii. Other. Describe: [Click or tap here to enter text.](#)

b. Check and describe how the Lead Agency ensures that all its staff members and any staff members in other agencies who administer the CCDF program through MOUs, grants and contracts are informed and trained regarding program requirements and integrity (98.68 (a)(3)). Check all that apply:

- ☐ i. Issue policy change notices. Describe: [Click or tap here to enter text.](#)
- ☐ ii. Train on policy change notices. Describe: [Click or tap here to enter text.](#)
- ☐ iii. Issue policy manuals. Describe: [Click or tap here to enter text.](#)
- ☐ iv. Train on policy manual. Describe: [Click or tap here to enter text.](#)
- ☐ v. Monitor and assess policy implementation on an ongoing basis. Describe: [Click or tap here to enter text.](#)
- ☐ vi. Meet regularly regarding the implementation of policies. Describe: [Click or tap here to enter text.](#)
- ☐ vii. Other. Describe: [Click or tap here to enter text.](#)

8.1.4 Describe the processes in place to regularly evaluate Lead Agency internal control activities (98.68 (a)(4)). Describe: [Click or tap here to enter text.](#)

8.1.5 Lead Agencies conduct a wide variety of activities to fight fraud and ensure program integrity. Lead Agencies are required to have processes in place to identify fraud and other program violations to ensure program integrity. Program violations can include both intentional and unintentional client and/or provider violations, as defined by the Lead Agency. These violations and errors, identified through the error-rate review process, may result in payment or nonpayment (administrative) errors and may or may not be the result of fraud, based on the Lead Agency definition. Check and describe any activities that the Lead Agency conducts to ensure program integrity.

a. Check and describe all activities that the Lead Agency conducts, including the results of these activities, to **identify and prevent fraud or intentional program violations**. Include in the description how each activity assists in the identification and prevention of fraud and intentional program violations.

- | | |
|--------------------------|--|
| ☐ | i. Share/match data from other programs (e.g., TANF program, Child and Adult Care Food Program, Food and Nutrition Service (FNS), Medicaid) or other databases |
|--------------------------|--|

	(e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS)). Describe the activities and the results of these activities: Click or tap here to enter text.
☐	ii. Run system reports that flag errors (include types). Describe the activities and the results of these activities: Click or tap here to enter text.
☐	iii. Review enrollment documents and attendance or billing records. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	iv. Conduct supervisory staff reviews or quality assurance reviews. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	v. Audit provider records. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	vi. Train staff on policy and/or audits. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	vii. Other. Describe the activities and the results of these activities: Click or tap here to enter text.

- b. Check and describe all activities the Lead Agency conducts, including the results of these activities, to **identify unintentional program violations**. Include in the description how each activity assists in the identification and prevention of unintentional program violations.

☐	i. Share/match data from other programs (e.g., TANF program, Child and Adult Care Food Program, Food and Nutrition Service (FNS), Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS)). Describe the activities and the results of these activities: Click or tap here to enter text.
☐	ii. Run system reports that flag errors (include types). Describe the activities and the results of these activities: Click or tap here to enter text.
☐	iii. Review enrollment documents and attendance or billing records. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	iv. Conduct supervisory staff reviews or quality assurance reviews. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	v. Audit provider records.

	Describe the activities and the results of these activities: Click or tap here to enter text.
☐	vi. Train staff on policy and/or audits. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	vii. Other. Describe the activities and the results of these activities: Click or tap here to enter text.

- c. Check and describe all activities that the Lead Agency conducts, including the results of these activities, to **identify and prevent agency errors**. Include in the description how each activity assists in the identification and prevention of agency errors.

☐	i. Share/match data from other programs (e.g., TANF program, Child and Adult Care Food Program, Food and Nutrition Service (FNS), Medicaid) or other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS)). Describe the activities and the results of these activities: Click or tap here to enter text.
☐	ii. Run system reports that flag errors (include types). Describe the activities and the results of these activities: Click or tap here to enter text.
☐	iii. Review enrollment documents and attendance or billing records. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	iv. Conduct supervisory staff reviews or quality assurance reviews. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	v. Audit provider records. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	vi. Train staff on policy and/or audits. Describe the activities and the results of these activities: Click or tap here to enter text.
☐	vii. Other. Describe the activities and the results of these activities: Click or tap here to enter text.

- 8.1.6 The Lead Agency is required to identify and recover misspent funds as a result of fraud, and it has the option to recover any misspent funds as a result of errors.

- a. Identify what agency is responsible for pursuing fraud and overpayments (e.g. State Office of the Inspector General, State Attorney). [Click or tap here to enter text.](#)
- b. Check and describe all activities, including the results of such activity, that the Lead Agency uses to investigate and recover improper payments due to fraud. Include in the description how each activity assists in the investigation and recovery of improper payment due to fraud or intentional program violations. Activities can include, but are not limited to, the following:

- ☐ i. Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ ii. Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ iii. Recover through repayment plans.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ iv. Reduce payments in subsequent months.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ v. Recover through state/territory tax intercepts.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ vi. Recover through other means.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ vii. Establish a unit to investigate and collect improper payments and describe the composition of the unit below.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ viii. Other. Describe the activities and the results of these activities:
[Click or tap here to enter text.](#)
- c. Check and describe any activities that the Lead Agency will use to investigate and recover improper payments due to unintentional program violations. Include in the description how each activity assists in the investigation and recovery of improper payments due to unintentional program violations. Include a description of the results of such activity. Activities can include, but are not limited to, the following:
- ☐ i. N/A. the Lead Agency does not recover misspent funds due to unintentional program violations.
 - ☐ ii. Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ iii. Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ iv. Recover through repayment plans.

- Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
- ☐ v. Reduce payments in subsequent months.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ vi. Recover through state/territory tax intercepts.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ vii. Recover through other means.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ viii. Establish a unit to investigate and collect improper payments and describe the composition of the unit below.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ ix. Other. Describe the activities and the results of these activities:
[Click or tap here to enter text.](#)
- d. Check and describe all activities that the Lead Agency will use to investigate and recover improper payments due to agency errors. Include in the description how each activity assists in the investigation and recovery of improper payments due to administrative errors. Include a description of the results of such activity.
- ☐ i. N/A. the Lead Agency does not recover misspent funds due to agency errors.
 - ☐ ii. Require recovery after a minimum dollar amount of an improper payment and identify the minimum dollar amount.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ iii. Coordinate with and refer to the other state/territory agencies (e.g., state/territory collection agency, law enforcement agency).
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ iv. Recover through repayment plans.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ v. Reduce payments in subsequent months.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
 - ☐ vi. Recover through state/territory tax intercepts.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)

- ☐ vii. Recover through other means.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
- ☐ viii. Establish a unit to investigate and collect improper payments and describe the composition of the unit.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
- ☐ ix. Other. Describe the activities and the results of these activities:
[Click or tap here to enter text.](#)

8.1.7 What type of sanction will the Lead Agency place on clients and providers to help reduce improper payments due to program violations? Check and describe all that apply:

- ☐ a. Disqualify the client. If checked, describe this process, including a description of the appeal process for clients who are disqualified.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
- ☐ b. Disqualify the provider. If checked, describe this process, including a description of the appeal process for providers who are disqualified.
Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
- ☐ c. Prosecute criminally.
Describe the activities and the results of these activities:
[Click or tap here to enter text.](#)
- ☐ d. Other. Describe the activities and the results of these activities:
[Click or tap here to enter text.](#)

Appendix A: MRS, Alternative Methodology and Narrow Cost Analysis Waiver Request Form

Lead Agencies may apply for a temporary waiver for the Market Rate Survey or ACF pre-approved alternative methodology and/or the narrow cost analysis in. These waivers will be considered “extraordinary circumstance waivers” to provide relief from the timeline for completing the MRS or ACF pre-approved alternative methodology and the narrow cost analysis during the COVID-19 pandemic. These waivers are limited to a one-year period.

Approval of these waiver requests is subject to and contingent on OCC review and approval of responses in Section 4, questions 4.2.1 and 4.2.5.

To submit a Market Rate Survey (MRS) or ACF pre-approved alternative methodology or a Narrow Cost Analysis waiver, complete the form below.

Check and describe each provision for which the Lead Agency is requesting a time-limited waiver extension.

- ☐ Appendix A.1: The Market Rate Survey (MRS) or ACF pre-approved alternative methodology (See related question 4.2.1.)
 1. Describe the provision (MRS or ACF pre-approved alternative methodology) from which the state/territory seeks relief. Include the reason why the Lead Agency is seeking relief from this provision due to this extraordinary circumstance. [Click or tap here to enter text.](#)
 2. Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. [Click or tap here to enter text.](#)
 3. Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. [Click or tap here to enter text.](#)
- ☐ Appendix A.2: The Narrow Cost Analysis (See related question 4.2.5.)
 1. Describe the provision (Narrow Cost Analysis) from which the state/territory seeks relief. Include the reason why in these extraordinary circumstances, the Lead Agency is seeking relief from this provision. [Click or tap here to enter text.](#)
 2. Describe how a waiver of the provision will, by itself, improve the delivery of child care services for children. [Click or tap here to enter text.](#)
 3. Certify and describe how the health, safety, and well-being of children served through assistance received through CCDF will not be compromised as a result of the waiver. [Click or tap here to enter text.](#)