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Child Care and Development Fund (CCDF) Plan

for

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

FFY 2025 – 2027

This Plan describes the Child Care and Development Fund program to be administered by the State or Territory for the period from 10/01/2024 to 9/30/2027, 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.

Table of Contents

Overview	4
1 CCDF Program Administration	6
1.1 CCDF Leadership.....	6
1.2 CCDF Policy Decision Authority	7
1.3 Consultation in the Development of the CCDF Plan	10
2 Child and Family Eligibility and Enrollment and Continuity of Care	12
2.1 Reducing Barriers to Family Enrollment and Redetermination	12
2.2 Eligible Children and Families.....	13
2.3 Prioritizing Services for Vulnerable Children and Families.....	22
2.4 State Outreach to Families Experiencing Homelessness, Families with Limited English Proficiency, and Persons with Disabilities	24
2.5 Promoting Continuity of Care.....	26
3 Child Care Affordability	30
3.1 Family Co-Payments	30
3.2 Calculation of Co-Payment.....	33
3.3 Waiving Co-Payment	34
4 Parental Choice, Equal Access, Payment Rates, and Payment Practices	34
4.1 Provider Participation.....	35
4.2 Assess Market Rates and Analyze the Cost of Child Care	36
4.3 Adequate Payment Rates.....	40
4.4 Payment Practices to Providers	45
4.5 Supply Building.....	47
5 Health and Safety of Child Care Settings	50
5.1 Licensing Requirements	51
5.2 Ratios, Group Size, and Qualifications for CCDF Providers	52
5.3 Health and Safety Standards for CCDF Providers	55
5.4 Pre-Service or Orientation Training on the Health and Safety Standards for CCDF Providers	66
5.5 Training and Professional Development Requirements (Ongoing Training).....	68
5.6 Monitoring and Enforcement Policies and Practices for Licensing and Health and Safety Requirements	69
5.7 Comprehensive Background Checks	74
5.8 Exemptions for Relative Providers	85
6 Support for a Skilled, Qualified, and Compensated Child Care Workforce	86
6.1 Supporting the Child Care Workforce	86
6.2 Professional Development Framework.....	88
6.3 Early Learning and Developmental Guidelines.....	90
7 Quality Improvement Activities	91
7.1 Quality Activities Needs Assessment	92

7.2 Use of Quality Set-Aside Funds	92
8 Lead Agency Coordination and Partnerships to Support Service Delivery	94
8.1 Coordination with Partners to Expand Accessibility and Continuity of Care	94
8.2 Optional Use of Combined Funds, CCDF Matching, and Maintenance-of-Effort Funds	96
8.3 Coordination with Child Care Resource and Referral Systems	98
8.4 Public-Private Partnerships	99
8.5 Disaster Preparedness and Response Plan	99
9 Family Outreach and Consumer Education	101
9.1 Parental Complaint Process.....	101
9.2 Consumer Education Website	102
9.3 Increasing Engagement and Access to Information.....	106
9.4 Providing Information on Developmental Screenings	108
10 Program Integrity and Accountability	109
10.1 Effective Internal Controls.....	109
10.2 Fraud Investigation, Payment Recovery, and Sanctions	111
Appendix 1: Lead Agency Implementation Plan	117
Appendix 1: Form	118

Overview

Introduction

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

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

As required by CCDBG, this CCDF Plan serves as the State and Territory application for a three-year cycle of CCDF funds and is the primary mechanism OCC uses to determine State and Territory compliance with the requirements of the statute and regulations. CCDF Lead Agencies must comply with the rules set forth in the CCDBG and corresponding ACF-issued rules and regulations. The CCDF Plan is a fundamental part of OCC's oversight of CCDF and is designed to align with and complement other oversight mechanisms including administrative and financial data reporting, the monitoring process, error rate reporting, and the annual Quality Progress Report.

Organization of Plan

In their CCDF Plans, States and Territories must describe how they implement the CCDF program. The Plan is organized into the following sections:

1. CCDF Program Administration
2. Child and Family Eligibility and Enrollment and Continuity of Care
3. Child Care Affordability
4. Parental Choice, Equal Access, Payment Rates, and Payment Practices
5. Health and Safety of Child Care Settings
6. Support for a Skilled, Qualified, and Compensated Child Care Workforce
7. Quality Improvement Activities
8. Lead Agency Coordination and Partnerships to Support Service Delivery
9. Family Outreach and Consumer Education
10. Program Integrity and Accountability

Completing the Plan

In responding to plan questions, States and Territories should provide brief, concise, and specific summaries and/or bullet points as appropriate to the question. Do not insert tables or charts, add attachments, or copy manuals into the Plan. The CCDF Plan is intended to stand on its own to describe how the Lead Agency is implementing its CCDF program.

OCC recognizes that Lead Agencies use different mechanisms to establish CCDF policies, such as State statute, regulations, administrative rules, policy manuals, or policy issuances. State/Territory Lead Agencies must submit their CCDF Plan no later than July 1, 2024.

Review and Amendment Process

OCC will review submitted State/Territory plans for completeness and compliance with federal policies. Each Lead Agency will receive an approval letter approximately 90 days after the Plan is due that includes any plan non-compliances to be addressed. OCC recognizes that Lead Agencies continue to modify and adapt your programs to address evolving child care needs of families and providers. States and Territories must make amendments to their plans as they make substantial policy and program changes during the three-year plan cycle, including when addressing non-compliances, during the three-year plan cycle.

Appendix 1: Implementation Plan

This revised Preprint aims to capture the most accurate and up-to-date information about how you are implementing the CCDF program in compliance with the requirements to best meet those needs. As part of the Plan review process, if OCC identifies any requirements that are not fully implemented, OCC will communicate a preliminary notice of non-compliance for those requirements via an emailed letter. OCC has created a standardized template for states and territories to submit as its 60-day response to that preliminary notice. This template is Appendix 1: Lead Agency Implementation Plan in the CCDF Plan Preprint. This required response via the Appendix will help create a shared understanding between OCC and the Lead Agency on which elements of a requirement are unmet, allow the State or Territory flexibility to outline its steps and associated timeline needed to fully implement those unmet elements, and provide a mechanism for requesting technical assistance and resources to support full implementation.

CCDF Plan Submission

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

1 CCDF Program Administration

Strong organizational structures, operational capacity, and partnerships position States and Territories to administer CCDF efficiently, effectively, and collaboratively.

This section identifies the CCDF Lead Agency, CCDF Lead Agency leadership, and the entities and individuals who will participate in the implementation of the program. It also identifies the partners who were consulted to develop the Plan.

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 in 658D; 658E(c)(1) and 98.16(a).

1.1.1 Identify the Lead Agency or joint interagency office designated by the State or Territory. OCC will send official grant correspondence, such as grant awards, grant adjustments, Plan approvals, and disallowance notifications, to the designated contact identified here.

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 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. The OCC 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, identify the Co-Administrator or the person with administrative responsibilities and include their 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. 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. Check one.
 - a. All program rules and policies are set or established by the State or Territory. 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:
 - 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). Identify the entity and describe the eligibility policies the local entity(ies) can set. *Click or tap here to enter text.*
 - C. 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). 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). 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). 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). 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 QIS, 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). 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 for CCDF. 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
i. Who conducts eligibility determinations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ii. Who assists parents in locating child care (consumer education)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iii. Who issues payments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iv. Who monitors licensed providers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
v. Who monitors license-exempt providers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
vi. Who operates the quality improvement activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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 For any activities performed by agencies other than the Lead Agency as reported above in 1.2.1 and 1.2.2, identify the processes the Lead Agency uses to oversee and monitor CCDF administration and implementation activities to retain overall responsibility for the CCDF program.

a. Check and describe how the Lead Agency includes in its written agreements the required elements. 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.

- i. Tasks to be performed. Describe: [Click or tap here to enter text.](#)
- ii. Schedule for completing tasks. Describe: [Click or tap here to enter text.](#)
- iii. Budget which itemizes categorical expenditures in accordance with CCDF requirements. Describe: [Click or tap here to enter text.](#)
- iv. Indicators or measures to assess performance of those agencies. Describe: [Click or tap here to enter text.](#)

b. In addition to the written agreements identified above, describe any other monitoring and auditing processes used to oversee CCDF administration. [Click or tap here to enter text.](#)

- 1.2.4 Does the Lead Agency certify that to the extent practicable and appropriate, 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.
- a. Yes.
 - b. No. If no, describe: *Click or tap here to enter text.*
- 1.2.5 Briefly describe the Lead Agency’s policies related to the use and disclosure of confidential and personally identifiable information about children and families receiving CCDF assistance and child care providers receiving CCDF funds. *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 and meaningful input and feedback from a wide range of representatives is critical for CCDF programs to continually adapt to the changing needs of families, child care programs, and the workforce. Consultation involves meeting with or otherwise obtaining input from an appropriate agency in the development of the State or Territory CCDF Plan. As part of the Plan development process, Lead Agencies must consult with the following:

- (1) Appropriate representatives of units of general-purpose local government. General purpose local governments are defined by the U.S. Census at https://www2.census.gov/govs/cog/g12_org.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) or similar coordinating body pursuant to 98.14(a)(1)(vii).
- (3) Tribe(s) or Tribal organization(s) within the State. This consultation should be done in a timely manner and at the option of the Tribe(s) or Tribal organization(s).

- 1.3.1 Describe the Lead Agency’s consultation efforts in the development of the CCDF Plan, including how and how often the consultation occurred.
- 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. *Click or tap here to enter text.*
 - d. Identify other entities, agencies, or organizations consulted on the development of the CCDF Plan (e.g., representatives from the early care and education workforce, or statewide afterschool networks) and briefly describe those consultation efforts: *Click or tap here to enter text.*

1.3.2 Lead Agencies must 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. 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.

a. Date of the public hearing: *Click or tap here to enter text.*

Reminder: Must be no earlier than January 1, 2024. If more than one public hearing was held, enter one date (e.g., the date of the first hearing, the most recent hearing date, or any hearing date that demonstrates this requirement).

b. Date of notice of public hearing (date for the notice of public hearing identified in 1.3.2a.):
Was the notice of public hearing posted publicly at least 20 calendar days prior to the date of the public hearing?

i. Yes.

ii. No. If no, describe: *Click or tap here to enter text.*

c. Describe how the public was notified about the public hearing, including outreach in other languages, information on interpretation services being available, etc.. Include specific website links if used to provide notice. *Click or tap here to enter text.*

d. Describe how the approach to the public hearing was inclusive of all geographic regions of the State or Territory: *Click or tap here to enter text.*

e. Describe 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. Describe how the information provided by the public was 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 must make the submitted and approved final Plan, any approved Plan amendments, and any approved requests for temporary waivers publicly available on a website.

a. Provide the website link to where the Plan, any Plan amendments, and/or waivers (if applicable) 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. Check all that apply and describe the strategies below, including any relevant website links as examples.

i. Working with advisory committees. Describe: *Click or tap here to enter text.*

ii. Working with child care resource and referral agencies. Describe: *Click or tap here to enter text.*

iii. Providing translation in other languages. Describe: *Click or tap here to enter text.*

- iv. Sharing through social media (e.g., Twitter, Facebook, Instagram, email). Describe: [Click or tap here to enter text.](#)
- v. Providing notification to key constituents (e.g., parent and family groups, provider groups, advocacy groups, foundations, and businesses). Describe: [Click or tap here to enter text.](#)
- vi. Working with Statewide afterschool networks or similar coordinating entities for out-of-school time. Describe: [Click or tap here to enter text.](#)
- vii. Direct communication with the child care workforce. Describe: [Click or tap here to enter text.](#)
- viii. Other. Describe: [Click or tap here to enter text.](#)

2 Child and Family Eligibility and Enrollment and Continuity of Care

Stable and reliable child care arrangements facilitate job stability for parents and healthy development of children. CCDF eligibility and enrollment policies can contribute to these goals. Policies and procedures that create barriers to families accessing CCDF, like inaccessible subsidy applications and onerous reporting requirements, interrupt a parent’s ability to work and may deter eligible families from participating in CCDF.

To address these concerns, states and territories must provide children with a minimum of 12 months between eligibility determination, limit reporting requirements during the 12-month period, and ensure eligibility determination processes do not interrupt a parent’s work or school.

In this section, Lead Agencies will identify how they define eligible children and families and how the Lead Agency improves access for eligible children and families.

2.1 Reducing Barriers to Family Enrollment and Redetermination

2.1.1 Does the Lead Agency implement any of the following eligibility practices to reduce barriers to enrollment? Check all that apply and describe those elements checked.

- a. Establishing presumptive eligibility while eligibility is being determined. Describe the policy and identify how long the period of presumptive eligibility is: [Click or tap here to enter text.](#)
- b. Leveraging eligibility from other public assistance programs. Describe: [Click or tap here to enter text.](#)
- c. Coordinating eligibility determinations for children in the same household. Describe: [Click or tap here to enter text.](#)
- d. Other. Describe the Lead Agency policies to process applications efficiently and make timely eligibility determinations: [Click or tap here to enter text.](#)
- e. None.

2.1.2 Lead Agencies must have procedures and policies in place to ensure that parents 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.

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 do not have their employment, education, or job training unduly disrupted to comply with the State’s/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. Describe: [Click or tap here to enter text.](#)

b. Does the Lead Agency use different policies for families receiving TANF assistance?

- i. Yes. If yes, describe the policies: [Click or tap here to enter text.](#)
- ii. No.

2.2 Eligible Children and Families

At eligibility determination or redetermination, 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 (SMI) for a family of the same size and whose family assets do not exceed \$1,000,000; and (3)(a) reside with a parent or parents who are working or attending a job training or educational program (which can include job search) or (b) receive, or need to receive, protective services and resides with a parent or parents not described in 2.2.2c.

2.2.1 Lead Agencies may provide child care assistance for children less than 13 years of age, including continuing to provide assistance to children if they turn 13 during the school year. In addition, Lead Agencies can choose to serve children up to age 19 if those children are unable to care for themselves.

- a. Does your Lead Agency serve the full federally allowable age range of children through age 12?
 - i. Yes.
 - ii. No. If no, describe the age range of children served and the reason why you made that decision to serve less than the full range of allowable children. [Click or tap here to enter text.](#)

Note: Do not include children incapable of self-care or under court supervision, who are reported below in 2.2.1b and 2.2.1c.

- b. Does the Lead Agency extend eligibility for CCDF-funded child care to children ages 13 and older but below age 19 who are physically and/or mentally incapable of self-care?
 - i. No.
 - ii. Yes, and the upper age is (may not equal or exceed age 19): [Click or tap here to enter text.](#)
 - A. 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 extend eligibility for CCDF-funded child care to children ages 13 and older but below age 19 who are under court supervision?
 - i. No.
 - ii. Yes, and the upper age is (may not equal or exceed age 19): [Click or tap here to enter text.](#)
- 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.](#)

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

Describe the Lead Agency’s work and educational criteria to qualify for child care assistance.

- a. How does the Lead Agency define the following terms for the purposes of determining CCDF eligibility?
 - i. Identify which of the following activities are included in your definition of “working” by checking the boxes below:
 - A. An activity for which a wage or salary is paid
 - B. Being self-employed
 - C. During a time of emergency or disaster, partnering in essential services

- D. Participating in unpaid activities like student teaching, internships, or practicums
 - E. Time for unpaid meals or breaks
 - F. Time for travel
 - G. Seeking employment or job search
 - H. Other. Describe: [Click or tap here to enter text.](#)
- ii. Identify which of the following activities are included in your definition of “job training” by checking the boxes below:
- A. Vocational/technical job skills training
 - B. Apprenticeship or internship program or other on-the-job training
 - C. English as a Second Language training
 - D. Adult Basic Education preparation
 - E. Participation in employment service activities
 - F. Time for meals and breaks
 - G. Time for travel
 - H. Other. Describe: [Click or tap here to enter text.](#)
- iii. Identify which of the following diplomas, certificates, degrees, or activities are included in your definition of “education” by checking the boxes below:
- A. Adult High School Diploma or GED
 - B. Certificate programs (12-18 credit hours)
 - C. One-year diploma (36 credit hours)
 - D. Two-year degree
 - E. Four-year degree
 - F. Travel to and from classrooms or labs
 - G. Study time
 - H. Other. Describe including hour requirements: [Click or tap here to enter text.](#)
- iv. Identify which of the following activities are included in your definition of “attending” by checking the boxes below:
- A. Travel time
 - B. Hours required for associated activities such as study groups, lab experiences
 - C. Time for outside class study or completion of homework

- D. Applicable meal and break times
 - E. Other. Describe: *Click or tap here to enter text.*
- v. Does the Lead Agency impose a State-defined minimum number of hours of activity for eligibility?
- A. No.
 - B. Yes. If yes, describe any State or Territory-imposed minimum requirement for the following:
 - a. Work. Describe: *Click or tap here to enter text.*
 - b. Education. Describe: *Click or tap here to enter text.*
 - c. Combination of allowable activities. Describe: *Click or tap here to enter text.*
 - d. Other. Describe: *Click or tap here to enter text.*
- b. Does the Lead Agency allow parents to qualify for CCDF assistance based on education and training without additional work requirements?
- i. Yes.
 - ii. No. If no, describe the additional work requirements: *Click or tap here to enter text.*
- c. Does the Lead Agency extend eligibility to specific populations of children otherwise not eligible by including them in its definition of “children who receive or need to receive protective services?”
- Note: 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.
- i. No.
 - ii. Yes. If yes:
 - A. Provide the Lead Agency’s definition of “protective services” by checking below the sub-populations of children that are included:
 - a. Children in foster care
 - b. Children in kinship care
 - c. Children who are in families under court supervision
 - d. Children who are in families receiving supports or otherwise engaged with a child welfare agency
 - e. Children participating in a Lead Agency’s Early Head Start - Child Care Partnerships program

- f. Children whose family members are deemed essential workers under a governor-declared state of emergency
 - g. Children experiencing homelessness
 - h. Children whose family has been affected by a natural disaster
 - i. Other. Describe: [Click or tap here to enter text.](#)
- 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?
- A. No.
 - B. 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?
- A. No.
 - B. Yes.
- v. Does the Lead Agency use CCDF funds to provide respite care to custodial parents of children in protective services?
- A. No.
 - B. Yes.

2.2.3 Lead Agencies have the flexibility to define family income requirements to qualify for child care assistance. Lead Agencies choose what income to include and exclude from income eligibility criteria. Describe the Lead Agency’s income criteria to qualify for child care assistance at initial determination.

- a. Are income eligibility limits set Statewide?
- i. Yes (Skip to 2.2.3b.)
 - ii. No. If no, how are eligibility limits established?
 - A. There is a Statewide limit with local variation. Provide the number of income eligibility tables and describe who sets the limits: [Click or tap here to enter text.](#)
 - B. Eligibility limits vary locally with no Statewide limits. Provide the number of income eligibility tables and describe who sets the limits: [Click or tap here to enter text.](#)
 - C. Other. Describe: [Click or tap here to enter text.](#)
- b. How does your Lead Agency set CCDF income eligibility limits at the time of initial eligibility determination within the required federal limit of 85% SMI?
- If the income eligibility limits are not Statewide, complete the chart with each locally established income eligibility limits.

i. Does your Lead Agency set CCDF income limits at the time of initial eligibility determination at the maximum limit of 85% of SMI?

A. Yes. If yes, provide in the table below the income eligibility limits for varying size families. Complete columns based on the Lead Agency’s most current State median income (SMI).

Family Size	(i) 100% of SMI (\$/Month)	(ii) 85% of SMI (\$/Month) [Multiply (i) by 0.85]
1	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
2	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
3	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
4	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
5	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>

B. No. If no, and income eligibility limits are set below 85% of SMI, provide in the table below the income eligibility limits for varying size families, using the most current SMI.

Family Size	(i) 100% of SMI (\$/Month)	(ii) (IF APPLICABLE) (\$/Month) Maximum Initial Eligibility Limit (or Threshold) if <u>Lower</u> than 85% of Current SMI	(iii) (IF APPLICABLE) (% of SMI) [Divide (ii) by (i), multiply by 100] Maximum Initial Eligibility Limit if <u>Lower</u> than 85% of Current SMI
1	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
2	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
3	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
4	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
5	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>

iii. Does the Lead Agency set initial income eligibility limits for families **above the federal limit of 85% of SMI** (optional practice) using sources other than CCDF?

A. No.

- B. Yes. If yes,
- a. Identify the funding source: [Click or tap here to enter text.](#)
 - b. Provide the income eligibility limits in the table below for families of varying sizes using the most current SMI.

Family Size	(i) 100% of SMI (\$/Month)	(ii) (IF APPLICABLE) (\$/Month) Maximum Initial Eligibility Limit (or Threshold) if <u>Greater than 85% of Current SMI</u>	(iii) (IF APPLICABLE) (% of SMI) [Divide (ii) by (i), multiply by 100] Maximum Initial Eligibility Limit if <u>Greater than 85% of Current SMI</u>
1	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
2	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
3	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
4	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.
5	Click or tap here to enter text.	Click or tap here to enter text.	Click or tap here to enter text.

c. How does the Lead Agency define “income” for the purposes of eligibility at the point of initial determination? Check all that apply:

- i. Gross wages or salary
- ii. Disability or unemployment compensation
- iii. Workers’ compensation
- iv. Spousal support, child support
- v. Survivor and retirement benefits
- vi. Rent for room within the family’s residence
- vii. Pensions or annuities
- viii. Inheritance
- ix. Public assistance
- x. Other. Describe: [Click or tap here to enter text.](#)

d. What is the effective date for these eligibility limits reported in 2.2.3b? [Click or tap here to enter text.](#)

- e. 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, even if the federal poverty level is used in implementing the program.

What federal data does the Lead Agency use when reporting the income eligibility limits?

- i. LIHEAP. If checked, provide the publication year of the LIHEAP guideline estimates used by the Lead Agency: [Click or tap here to enter text.](#)
 - ii. Other. Describe: [Click or tap here to enter text.](#)
- f. Provide the direct URL/website link, if available, for the income eligibility limits. [Click or tap here to enter text.](#)

2.2.4 Lead Agencies must demonstrate how their processes for initial determination and redetermination take into account irregular fluctuations in earnings. 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) from seasonal employment or other temporary work schedules, do not affect eligibility or family co-payments. 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). If checked, identify the period of time: [Click or tap here to enter text.](#)
- 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. Are there other ways the Lead Agency takes into account irregular fluctuations in earnings? Describe: [Click or tap here to enter text.](#)

2.2.5

- a. When calculating income eligibility, does the Lead Agency ensure each eligible family does not have assets that exceed \$1,000,000?
 - i. Yes.
 - ii. No. If no, describe (optional): [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?
 - i. No.
 - ii. Yes. If yes, describe the policy or procedure: [Click or tap here to enter text.](#)

2.2.6 Aside from the eligibility conditions or rules which have been described in 2.2.1 – 2.2.5, do you have any additional eligibility criteria applied during:

- a. Eligibility determination? If yes, describe: [Click or tap here to enter text.](#)

b. Eligibility redetermination? If yes, describe: [Click or tap here to enter text.](#)

2.2.7 Lead Agencies must have procedures for documenting and verifying that children receiving CCDF funds meet eligibility criteria at the time of eligibility determination and redetermination.

a. Check the information that the Lead Agency documents and verifies at initial determination and redetermination and describe what information is required and how often.

Required at Initial Determination	Required at Redetermination	Information and Description
<input type="checkbox"/>	<input type="checkbox"/>	i. Applicant identity. Describe: Click or tap here to enter text.
<input type="checkbox"/>	<input type="checkbox"/>	ii. Applicant’s relationship to the child. Describe: Click or tap here to enter text.
<input type="checkbox"/>	<input type="checkbox"/>	iii. Child’s information for determining eligibility (e.g., identity, age, citizen/immigration status). Describe: Click or tap here to enter text.
<input type="checkbox"/>	<input type="checkbox"/>	iv. Work. Describe: Click or tap here to enter text.
<input type="checkbox"/>	<input type="checkbox"/>	v. Job training or educational program. Describe: Click or tap here to enter text.
<input type="checkbox"/>	<input type="checkbox"/>	vi. Family income. Describe: Click or tap here to enter text.
<input type="checkbox"/>	<input type="checkbox"/>	vii. Household composition. Describe: Click or tap here to enter text.
<input type="checkbox"/>	<input type="checkbox"/>	viii. Applicant residence. Describe: Click or tap here to enter text.
<input type="checkbox"/>	<input type="checkbox"/>	ix. Other. Describe: Click or tap here to enter text.

b. If an entity other than the Lead Agency documents and verifies eligibility information, describe how the Lead Agency accesses this information to support program integrity efforts: [Click or tap here to enter text.](#)

2.2.8 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.

Describe how the Lead Agency informs 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.

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.*

2.3 Prioritizing Services for Vulnerable Children and Families

Lead Agencies must give priority for child care assistance to children with special needs, families with very low incomes, and children experiencing homelessness. A Lead Agency has the flexibility to prioritize other populations of children.

Note: Statute defines children with disabilities, and CCDF rule gives flexibility to Lead Agencies to include vulnerable populations in their definition of children with special needs.

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).

2.3.1 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.*

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

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

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 3.3.1	Pay higher rate for access to higher quality care	Use grants or contracts to reserve spots
i. Children with special needs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ii. Families with very low incomes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iii. Children experiencing homelessness, as defined by CCDF	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iv. Families receiving TANF, those attempting to transition off TANF, and those at risk of becoming dependent on TANF	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- b. If applicable, check and describe any other ways the identified populations in the table above are prioritized.
- i. Children with special needs. Describe: [Click or tap here to enter text.](#)
 - ii. Families with very low incomes. Describe: [Click or tap here to enter text.](#)
 - iii. Children experiencing homelessness. Describe: [Click or tap here to enter text.](#)
 - iv. Families receiving TANF. Describe: [Click or tap here to enter text.](#)

2.3.3 Does the Lead Agency define any other priority groups?

- a. No.
- b. Yes. If yes, identify the populations prioritized and describe how the Lead Agency prioritizes services: [Click or tap here to enter text.](#)

2.3.4 Lead Agencies are required to expend CCDF funds to allow (after an initial eligibility determination) children experiencing homelessness to receive services while required eligibility documentation is obtained.

Describe the procedures to permit the enrollment of children experiencing homelessness while required eligibility documentation is obtained: [Click or tap here to enter text.](#)

- 2.3.5 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.

Note: Any payment for such a child during the grace period must not be considered an error or improper payment.

- a. Describe the grace period for each population below and how it allows them 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:
 - i. Children experiencing homelessness: [Click or tap here to enter text.](#)
 - ii. Children who are in foster care: [Click or tap here to enter text.](#)
- b. Does the Lead Agency certify that the length of the grace period was established in consultation with the State, Territorial or Tribal health agency?
 - i. Yes.
 - ii. No. If no, describe (optional): [Click or tap here to enter text.](#)
- c. 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: [Click or tap here to enter text.](#)

2.4 State Outreach to Families Experiencing Homelessness, Families with Limited English Proficiency, and Persons with Disabilities

The Lead Agency must conduct outreach and provide services to eligible families experiencing homelessness, families with limited English proficiency, and persons with disabilities, including clearly communicating program information, such as requirements, consumer education information, and eligibility information, to these families and child care providers.

- 2.4.1 Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families with limited English proficiency. Check all that apply.
- a. Application in languages other than English (application and related documents, brochures, provider notices)
 - b. Informational materials in languages other than English
 - c. Website in languages other than English
 - 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, or Migrant and Seasonal Head Start
- i. Home visiting programs
- j. Other. Describe: [Click or tap here to enter text.](#)

2.4.2 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.](#)

2.4.3 Check, where applicable, the procedures used to conduct outreach for children experiencing homelessness and their families.

- a. Lead Agency accepts applications at local community-based locations
- b. Partnerships with community-based organizations
- c. Partnering with homeless service providers, McKinney-Vento liaisons, and others who work with families experiencing homelessness to provide referrals to child care
- d. Other. Describe: [Click or tap here to enter text.](#)

2.4.4 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.

- a. Describe the State's/Territory's training and TA efforts for providers in identifying and serving children and their families experiencing homelessness. [Click or tap here to enter text.](#)

- b. Describe the State’s/Territory’s training and TA efforts for Lead Agency (or designated entity) staff in identifying and serving children and their families experiencing homelessness. [Click or tap here to enter text.](#)

2.5 Promoting Continuity of Care

- 2.5.1 Lead Agencies must consider children’s development and promote continuity of care when authorizing child care services.

Describe how the Lead Agency’s child care services policies promote continuity of care in order to support children’s development. [Click or tap here to enter text.](#)

- 2.5.2 Lead Agencies must establish a minimum 12-month eligibility and redetermination period in a manner that supports continuity in child care assistance and reduces barriers to families retaining eligibility. This requirement is:

- 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); and
- Regardless of temporary changes in participation in work, training, or educational activities. Lead Agencies cannot put a time limit on any temporary changes (e.g., 60 days, 90 days, etc.).

- a. Does the Lead Agency certify that its definition of “temporary change” includes the minimum required elements?

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 lasts a minimum of 3 months. Lead Agencies may establish a period longer than 3 months.
6. A child turning 13 years old during the minimum 12-month eligibility period (except as described in 2.2.1)
7. Any changes in residency within the State or Territory

i. Yes.

ii. No. If no, describe (optional): [Click or tap here to enter text.](#)

- b. Provide the Lead Agency’s policies or procedures related to providing a minimum 12-month eligibility period for a child at initial eligibility determination: [Click or tap here to enter text.](#)

- c. Are the policies different for redetermination?
 - i. No.
 - ii. Yes. If yes, provide the additional/varying policies for redetermination: [Click or tap here to enter text.](#)

2.5.3 If the Lead Agency chooses 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. The Lead Agency has the option of extending the time period beyond 3 months. At the end of the minimum 3-month period of continued assistance, if the parent has resumed 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) as an eligible activity at initial eligibility determination and at the minimum 12-month eligibility redetermination? (Note: If yes, Lead Agencies must provide a minimum of 3 months of job search.)
 - i. No. The Lead Agency does not consider seeking employment (engaging in a job search) as an eligible activity at initial eligibility determination and at redetermination.
 - ii. Yes. If yes, briefly describe: [Click or tap here to enter text.](#)
- b. Does the Lead Agency continue assistance during the minimum 12-month eligibility period when a parent has a non-temporary loss or cessation of eligible activity?
 - i. Yes. The State/Territory continues assistance.
 - ii. No, the Lead Agency discontinues assistance. If no:
 - A. Describe the Lead Agency’s policies for discontinuing assistance due to a parent’s non-temporary change: [Click or tap here to enter text.](#)
 - B. Describe what specific actions/changes trigger the job-search period after each such loss or cessation: [Click or tap here to enter text.](#)
 - C. How long is the job-search period where a family can continue assistance (must be at least 3 months)? [Click or tap here to enter text.](#)
- c. The Lead Agency may discontinue assistance prior to the next minimum 12-month redetermination in the limited circumstances listed below. Check and provide the policy for all circumstances in which the Lead Agency chooses to discontinue assistance prior to the next minimum 12-month redetermination:
 - 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. Provide the Lead Agency’s policy defining the number of unexplained absences identified as excessive: [Click or tap here to enter text.](#)
- iii. A change in residency outside of the State or Territory: [Click or tap here to enter text.](#)
- iv. Substantiated fraud or intentional program violations that invalidate prior determinations of eligibility.
 - A. Provide the Lead Agency’s definition of fraud/intentional program violations that lead to discontinued assistance: [Click or tap here to enter text.](#)

2.5.4 Lead Agencies may only require families to report limited changes during the minimum 12-month eligibility period. Families must report to the Lead Agency if the family’s income exceeds 85 percent of the State median income (SMI), taking into account irregular fluctuations in income, during the 12-month eligibility period. If the Lead Agency chooses the option to terminate assistance, as described in question 2.5.3 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).

Note: The response below should exclude reporting requirements for a graduated phase-out, which are described in question 2.5.5.

Does the Lead Agency ensure that it does not require families to report changes beyond those described above?

- a. Yes.
- b. No. If no, describe (optional): [Click or tap here to enter text.](#)

2.5.5 Lead Agencies that establish initial family income eligibility below 85 percent of State median income (SMI) must 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.

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; or,
- (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 family with a low income
 - (B) Provides justification that the second eligibility threshold is:
 - (1) Sufficient to accommodate increases in family income over time that are typical for workers with low incomes 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 must be considered eligible if their parents are participating in an eligible activity (i.e., working or attending a job training or educational program) even if their

income exceeds the Lead Agency’s initial eligibility income limit as long as their income does not exceed the second tier of eligibility. Note that once determined eligible, the child must be considered eligible for a full minimum 12-month eligibility period, even if the parents’ income exceeds the second tier of eligibility during the eligibility period, as long as it does not exceed 85 percent of SMI.

A child eligible for services via the graduated phase-out of assistance is considered eligible under the same conditions as other eligible children 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 in proportion to a family’s income growth for families whose children are determined eligible under a graduated phase-out. Lead Agencies may require additional reporting on changes in family income but 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.
 - i. Not applicable. 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 question 3.1.1)
 - ii. The Lead Agency sets the second tier of eligibility at 85 percent of SMI. If checked, describe the policies and procedures: [Click or tap here to enter text.](#)
 - iii. 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 (\$/month) and the percent of SMI 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:
 - a. Takes into account the typical household budget of a low-income family: [Click or tap here to enter text.](#)
 - b. 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.](#)
 - c. Reasonably allows a family to continue accessing child care services without unnecessary disruption: [Click or tap here to enter text.](#)
- b. If you implement graduated phase-out, check and describe all that apply.
 - i. Adjust the family’s co-pay during the graduated phase-out period. If checked, describe how the Lead Agency gradually adjusts co-payment for families under a graduated phase-out period in proportion to a family’s income growth. Include information on the percentage or amount of change made in the co-payment during graduated phase-out: [Click or tap here to enter text.](#)
 - ii. Require additional reporting requirements during the graduated phase-out period. If checked, describe: [Click or tap here to enter text.](#)

3 Child Care Affordability

CCDF subsidies make child care more affordable for eligible families, providing access to a greater range of child care options that allow parents to work, go to school, or enroll in training and they allow parents to access higher quality care options that better support children’s development. CCDF requires some families participating in CCDF to pay a co-payment set by the Lead Agency to cover a part of their care. High co-payments can be a significant and destabilizing financial strain on family budgets and a barrier to parent employment, and the CCDBG Act requires that the co-payment amount not be a barrier to families participating in CCDF. To make child care more affordable for more families, Lead Agencies have broad flexibility to waive co-payments for certain populations and set low co-payments for other participants. The family co-payment should not impact the provider’s total payment.

In this section, Lead Agencies will identify how they determine an eligible family’s co-payment, the policies in place to waive or make co-payments affordable for families, and how the Lead Agency improves access for children and families in economically and/or socially marginalized communities.

3.1 Family Co-Payments

Lead Agencies must establish and periodically revise a sliding-fee scale for families receiving CCDF services that varies based on income and the size of the family to determine each family’s contribution (i.e., co-payment) and does not create a barrier to receiving CCDF assistance. 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 price of care or amount of subsidy payment in determining co-payments. Lead Agencies have the option to waive child care co-payments for families whose incomes are at or below the poverty level for a family of the same size, who have children who receive or need to receive protective services, or that meet other criteria established by the Lead Agency.

- 3.1.1 Provide the CCDF co-payments for eligible families in the table(s) below according to family size for **one** child in care.
- a. Does the Lead Agency certify that their sliding fee scales are always based on income and family size (regardless of how many different scales they may use)?
 - i. Yes.
 - ii. No. If no, describe (optional): [Click or tap here to enter text.](#)
 - b. Is the sliding fee scale set Statewide?
 - i. Yes. If yes, complete the table below:

	<i>(i)</i>	<i>(ii)</i>	<i>(iii)</i>	<i>(iv)</i>	<i>(v)</i>	<i>(vi)</i>
Family size	Lowest income at initial eligibility where the family is first charged a co-pay (greater than \$0).	What is the monthly co-payment for a family of this size based on the income level in (i)?	What percentage of income is the co-payment in (ii)?	Highest income at initial eligibility where a family is charged a co-pay 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 (iv)?	What percentage of income is this co-payment in (iv)?
1	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
2	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
3	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
4	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
5	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>

- ii. No. If the sliding-fee scale is not Statewide (i.e., county-administered States):
- A. How is the sliding fee scale set? *Click or tap here to enter text.*
 - B. Complete the table for all variations:

	<i>(i)</i>	<i>(ii)</i>	<i>(iii)</i>	<i>(iv)</i>	<i>(v)</i>	<i>(vi)</i>
Family size	Lowest income at initial eligibility where the family is first charged a co-pay (greater than \$0).	What is the monthly co-payment for a family of this size based on the income level in (i)?	What percentage of income is the co-payment in (ii)?	Highest income at initial eligibility where a family is charged a co-pay 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 (iv)?	What percentage of income is this co-payment in (iv)?
1	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
2	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
3	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
4	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>
5	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>	<i>Click or tap here to enter text.</i>

- 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(s): *Click or tap here to enter text.*

3.1.2 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? Lead Agencies may combine multiple strategies within a policy to make co-payments more affordable. Check all that apply:

- a. Establish co-payments based on a sliding fee scale that takes into consideration income and family size.
- b. Cap co-payments at 7% of a family’s gross income, regardless of the number of children participating in CCDF.
- c. Base co-payments on the number of children in the family and reduce a portion of the co-payments as the number of children being served increases.
- d. Waive co-payments for families with incomes below 150% of SMI.
- e. Waive co-payments for families with incomes below 100% of SMI.

- f. Waive co-payments for families with children with disabilities.
- g. Base co-payments on only a portion of the family's income. For instance, only consider the family income over the federal poverty level.
- h. Other. Describe: [Click or tap here to enter text.](#)

3.1.3 What is the maximum percent of a family's gross income any family could be charged as a co-payment? [Click or tap here to enter text.](#)

3.1.4 Does the Lead Agency allow providers to charge families additional amounts above the required co-payment in instances where the provider's price exceeds the subsidy payment?

- a. No.
- b. 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 does not provide a barrier and 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.](#)

3.2 Calculation of Co-Payment

3.2.1 How is the family's contribution calculated, and to whom is it applied? Check either a. or b. and then check all that apply under your selection.

- 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.](#)

3.2.2 Does the Lead Agency use other factors in addition to income and family size to determine each family's co-payment? Reminder: Lead Agencies may NOT use price of care or amount of subsidy payment in determining co-payments.

- a. No.
- b. Yes. If yes, check and describe those additional factors below.
 - i. Number of hours the child is in care. Describe: [Click or tap here to enter text.](#)
 - ii. Quality of care (as defined by the State/Territory). Describe: [Click or tap here to enter text.](#)
 - iii. Other. Describe: [Click or tap here to enter text.](#)

3.3 Waiving Co-Payment

3.3.1 The Lead Agency has the option to waive contributions/co-payments from families to lower costs and maximize affordability for families.

Does the Lead Agency waive family contributions/co-payments?

- a. Yes. If yes, identify and describe which families have their family contributions/co-payments waived.
 - i. Families with an income at or below 100% of the federal poverty level for families of the same size.
 - ii. Families with an income between 101% and 150% of the Federal poverty level for families of the same size.
 - iii. 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: [Click or tap here to enter text.](#)
 - iv. Families with children with disabilities.
 - v. Families meeting other criteria established by the Lead Agency. Describe the policy: [Click or tap here to enter text.](#)
- b. No, the Lead Agency does not waive family contributions/co-payments.

4 Parental Choice, Equal Access, Payment Rates, and Payment Practices

Core purposes of CCDF are to provide participating parents choice in their child care arrangements and provide their children with equal access to child care compared to those children not

participating in CCDF. CCDF policies approach equal access and parental choice comprehensively to meet these foundational program goals. Providing access to a full range of child care providers helps ensure that families can choose a child care provider that meets their family’s needs. CCDF payment rates and practices must be sufficient to support equal access by allowing child care providers to recruit and retain skilled staff, provide high-quality care, and operate in a sustainable way. Supply-building strategies are also essential. Building a supply of high-quality child care that meets the needs and preferences of parents strengthens families, communities, businesses, and the economy. Successful strategies address the needs of populations facing particularly acute shortages (e.g., children with disabilities, infants and toddlers, non-traditional hours) and confront barriers to growing the supply—including thin operational margins, low wages, and difficult job conditions for child care providers and workers.

This section addresses many of the CCDF provisions related to equal access. This includes families being able to access the full range of providers available; adequate payment rates for providers informed by data collected by Lead Agencies on the price and cost of care at basic levels and at higher levels of quality; affordable co-payments for families; payment practices that fairly support providers’ child care businesses; differential payment rates, if appropriate, and other strategies that support parental choice and access by helping to ensure that child care providers are available to serve children funded by CCDF.

In responding to questions in this section, OCC recognizes that each State/Territory identifies and defines its own categories and types of care. 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.

4.1 Provider Participation

Lead Agencies must provide parents a choice of providers and offer assistance with child care services through a child care certificate (or voucher) or with a child care provider that has a grant or contract for the provision of child care services. Lead Agencies must require providers chosen by families to meet minimum health and safety standards and have 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 or category of care or provider (e.g., center care, home care, in-home care, for-profit provider, non-profit provider, or faith-based provider, etc.).

- 4.1.1 Describe State/Territory data on the extent to which eligible child care providers participate in the CCDF system:
 - a. Provider participation rate in the CCDF program: *Click or tap here to enter text.*
 - b. Percentage of licensed child care centers accepting families supported by CCDF: *Click or tap here to enter text.*
 - c. Percentage of licensed family child care homes accepting families supported by CCDF: *Click or tap here to enter text.*
- 4.1.2 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, public comment, and reports to the Lead Agency. *Click or tap here to enter text.*

4.1.3 Does the Lead Agency offer child care assistance through vouchers or certificates?

a. Yes.

b. No.

4.1.4 Does the Lead Agency offer child care assistance through grants or contracts?

a. Yes.

b. No.

4.1.5 Describe 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; family child care homes; or in-home providers. [Click or tap here to enter text.](#)

4.1.6 Describe what information is included on the child care certificate. [Click or tap here to enter text.](#)

4.2 Assess Market Rates and Analyze the Cost of Child Care

To establish subsidy payment rates that ensure equal access, Lead Agencies must collect and analyze statistically valid and reliable data and have the option to conduct a (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, which estimates the cost of care by incorporating both data and assumptions to estimate what expected costs would be incurred by child care providers and parents under different scenarios. Another approach would be a cost survey that collects cost data at the facility or program level to measure the costs (or inputs used) to deliver child care services.

Prior to conducting the market rate survey (MRS) or pre-approved alternative, Lead Agencies must consult with the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i)) or similar coordinating body, local child care program administrators, local child care resource and referral agencies, and other appropriate entities; and organizations representing child care caregivers, teachers, and directors.

Regardless of whether Lead Agencies conduct a market rate survey or an ACF pre-approved alternative methodology, they must analyze the cost of providing child care, known as the narrow cost analysis.

Note: Any Lead Agency considering using an alternative methodology, instead of a market rate survey to set payment rates, is required to submit a description of its proposed approach to OCC for pre-approval in advance of developing and conducting the alternative methodology.

Advance approval is not required if the Lead Agency plans to implement both a market rate survey and an alternative methodology to set rates at a percentile of the market rate, but a Lead Agency conducting a limited market rate survey and using it to inform their cost model would need pre-approval for this approach. In its request for ACF pre-approval a Lead Agency must provide details on the following elements of their proposed alternative methodology:

- Overall approach and rationale for using proposed methodology
- Description of stakeholder engagement

- Data collection timeframe (if applicable)
- Description of the data and assumptions included in the methodology, including how these elements will yield valid and reliable results from the model
- Description of how the methodology will capture the universe of providers, and reflect variations by provider type, age of children, geographic location, and quality

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 to meet the CCDF requirements to assess child care prices and/or costs and determine payment rates? Check and describe all that apply.

- a. MRS. When were the data gathered (provide a date range; for instance, September – December 2023)? [Click or tap here to enter text.](#)
- b. ACF pre-approved alternative methodology.
 - i. The alternative methodology was completed. If checked:
 - A. When were the data gathered and when was the study completed? [Click or tap here to enter text.](#)
 - B. Describe any major differences between the pre-approved methodology and the final methodology used to inform payment rates. Include any major changes to stakeholder engagement, data, assumptions or proposed scenarios. [Click or tap here to enter text.](#)
 - ii. The alternative methodology is in process. If checked:
 - A. Provide a status on the alternative methodology and timeline (i.e., dates when the alternative methodology activities will be conducted, any completed steps to date, anticipated date of completion, and expected date new rates will be in effect using the alternative methodology). [Click or tap here to enter text.](#)

4.2.2 Describe when and how the Lead Agency engaged the following partners and how your consultation informed the development and execution of your market rate survey or alternative methodology, as appropriate.

- 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 child care caregivers, teachers, and directors from all settings and serving all ages: [Click or tap here to enter text.](#)
- e. Other. Describe: [Click or tap here to enter text.](#)

4.2.3 A market rate survey must be statistically valid and reliable. An MRS can use administrative data, such as child care resource and referral data, if it is representative of the market. Please provide the following information about your market rate survey:

- a. When was the market rate survey completed? *Click or tap here to enter text.*
- b. What was the time period for collecting the information (e.g., all of the prices in the survey are collected within a three month time period)? *Click or tap here to enter text.*
- c. Describe how it represented the child care market, including what types of providers were included in the survey: *Click or tap here to enter text.*
- d. What databases are used in the survey? Are they from multiple sources, including licensing, resource and referral, and the subsidy program? *Click or tap here to enter text.*
- e. How does the survey use good data collection procedures, regardless of the method for collection (mail, telephone, or web-based survey)? *Click or tap here to enter text.*
- f. What is the percent of licensed or regulated child care centers responding to the survey? *Click or tap here to enter text.*
- g. What is the percent of licensed or regulated family child care homes responding to the survey? *Click or tap here to enter text.*
- h. Was the survey conducted in any languages other than English? *Click or tap here to enter text.*
- i. Were data analyzed in a manner to determine price of care per child? *Click or tap here to enter text.*
- j. Were data analyzed from a sample of providers and if so, was the sample weighted? *Click or tap here to enter text.*

4.2.4 The market rate survey data or ACF pre-approved alternative methodology data must reflect variations in child care prices or cost of child care services in specific categories.

- a. Describe how the market rate survey or pre-approved alternative methodology reflected variation in geographic area (e.g., county, region, urban, rural). Include information on whether parts of the state or territory were not represented by respondents and include information on how prices could be linked to local geographic areas. *Click or tap here to enter text.*
- b. Describe how the market rate survey or pre-approved alternative methodology reflected variation in type of provider (e.g., licensed providers, license-exempt providers, center-based providers, family child care home providers, home based providers). *Click or tap here to enter text.*
- c. Describe how the market rate survey or pre-approved alternative methodology reflected age of child (e.g., infant, toddler, preschool, school-age). *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 A Lead Agency is required to analyze the cost of providing child care services, known as the narrow cost analysis. A narrow cost analysis is a study of what it costs providers to deliver child care at two or more levels of quality: (1) a base level of quality that meets health, safety, staffing, and quality requirements, and (2) one or more higher levels of quality as defined by the Lead Agency. The narrow cost analysis must estimate costs by levels of quality; include relevant variation by provider type, child’s age, or location; and analyze the gaps between estimated costs and payment rates to inform payment rate setting. For more information, see CCDF-ACF-PI-2018-01, February 2018. In the child care sector, the cost of providing child care services is typically higher than the price parents in the community can afford to pay.

Describe how the State/Territory analyzed the cost of child care through a narrow cost analysis for the FFY 2025–2027 CCDF Plan, including:

- a. How did the Lead Agency conduct a narrow cost analysis (e.g., a cost model, a cost study, existing data or data from the Provider Cost of Quality Calculator)? In your analysis, were there any relevant variations by geographic location, category of provider, or age of child? [Click or tap here to enter text.](#)
- b. What assumptions and data did the Lead Agency use to determine the cost of care at the base level of quality (e.g., ratios, group size, staff compensations, staff training, etc.)? [Click or tap here to enter text.](#)
- c. How does the Lead Agency define higher quality and what assumptions and data did the Lead Agency use to determine cost at higher levels of quality (e.g., ratio, group size, staffing levels, staff compensation, professional development requirements)? A Lead Agency can use a quality improvement system or other system of quality indicators (e.g., accreditation, pre-Kindergarten standards, Head Start Program Performance Standards, or state-defined quality measures). [Click or tap here to enter text.](#)
- d. What is the gap between cost and price, and how did the Lead Agency consider this while setting payment rates? Did the Lead Agency target any rate increases where gaps were the largest or develop any long-term plans to increase rates based on this information? [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.

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 prior to conducting the MRS or ACF pre-approved alternative methodology.

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 by responding to the questions below.

- a. Provide the following dates:
 - i. Date the report was completed. Describe: [Click or tap here to enter text.](#)

- ii. 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. Provide a link to the website where the report is posted and describe any other strategies the Lead Agency uses to make the detailed report widely available: [Click or tap here to enter text.](#)
- c. Describe how the Lead Agency considered partner views and comments in the detailed report. Responses should include which partners were engaged and how partner input influenced the final report: [Click or tap here to enter text.](#)

4.3 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, and at a level to ensure equal access for eligible families to child care services comparable with those provided to families not receiving CCDF assistance. Lead Agencies are also required to provide a summary of data and facts to demonstrate how payment rates ensure equal access, which means the Lead Agency must also consider the costs of base level care and higher quality care as part of its rate setting. Finally, the Lead Agency must re-evaluate its payment rates at least every 3 years.

The ages and types of care listed in the base payment rate tables are meant to provide a snapshot of the categories of rates 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 provide all variations of payment rates when reporting base payment rates below.

Base rates are the lowest, foundational rates before any differentials are added (e.g., for higher quality or other purposes) and must be sufficient to ensure that minimum health and safety and staffing requirements are covered. These are the rates that will be used to determine compliance with equal access requirements.

4.3.1 Reporting Payment Rates by Jurisdiction(s).

Are the payment rates that the Lead Agency is reporting in 4.3.2 set statewide by the Lead Agency?

- a. Yes. If yes, check if the Lead Agency:
 - i. Sets the same payment rates for the entire State or Territory
 - ii. Sets different payment rates for different Regions in the State or Territory
- b. No. If no:
 - i. Identify how many jurisdictions set their own payment rates: [Click or tap here to enter text.](#)
 - ii. Provide the date the current payment rates became effective (i.e., date of last payment rate update based on most recent MRS or ACF pre-approved alternative methodology as reported in 4.2.1). [Click or tap here to enter text.](#)
 - iii. If the Lead Agency does not publish weekly rates, then how were the rates reported in 4.3.2 or 4.3.3 calculated (e.g., were daily rates multiplied by 5 or monthly rates divided by 4.3)? [Click or tap here to enter text.](#)

- iv. Provide the citation, or link, if available, to the payment rates. [Click or tap here to enter text.](#)

4.3.2 Base payment rates

- a. Analysis of the base payment rate based on the most recent market rate survey

Provide the base payment rates in the tables below, and if the Lead Agency completed a market rate survey, provide the percentiles based on the most recent MRS for the identified categories. Percentiles are not required if the Lead Agency conducted an ACF pre-approved alternative methodology but must be reported if the Lead Agency conducted an MRS.

The preamble to the 2016 final rule indicates that a benchmark for adequate payment rates is the 75th percentile of the most recent MRS. The 75th percentile benchmark applies to the base rates. 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 families can afford three out of four child care providers.

Base rates are the lowest, foundational rates and must be sufficient to ensure that minimum health and safety and staffing requirements are covered. Base rates do not include differentials (e.g., for higher quality or other purposes). Base rates are used to determine compliance with requirements to ensure equal access.

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.

Infant (6 months)								
	Amount		According to Your Most Recent MRS				According to Your Most Recent Alternative Methodology	
		% of providers receiving this rate	<i>What is the percentile of this rate?</i>	<i>What is the 50th percentile?</i>	<i>What is the 60th percentile?</i>	<i>What is the 75th percentile?</i>	<i>What is the estimated cost of care?</i>	<i>What percent of the estimated cost of care is the rate?</i>
Center Care for Infants								
Base payment rate (per week)								
Full-Time Weekly Base Payment Rate								
Family Child Care for Infants								

Infant (6 months)								
	Amount		According to Your Most Recent MRS				According to Your Most Recent Alternative Methodology	
		% of providers receiving this rate	<i>What is the percentile of this rate?</i>	<i>What is the 50th percentile?</i>	<i>What is the 60th percentile?</i>	<i>What is the 75th percentile?</i>	<i>What is the estimated cost of care?</i>	<i>What percent of the estimated cost of care is the rate?</i>
Base payment rate (per week)								
Full-Time Weekly Base Payment Rate								

Toddler (18 months)								
	Amount		According to Your Most Recent MRS				According to Your Most Recent Alternative Methodology	
		% of providers receiving this rate	<i>What is the percentile of this rate?</i>	<i>What is the 50th percentile?</i>	<i>What is the 60th percentile?</i>	<i>What is the 75th percentile?</i>	<i>What is the estimated cost of care?</i>	<i>What percent of the estimated cost of care is the rate?</i>
Center Care for Toddlers								
Base payment rate (per week)								
Full-Time Weekly Base Payment Rate								
Family Child Care for Toddlers								
Base payment rate (per week)								
Full-Time Weekly Base Payment Rate								

Preschool (4 years)								
	Amount		According to Your Most Recent MRS				According to Your Most Recent Alternative Methodology	
		% of providers receiving this rate	<i>What is the percentile of this rate?</i>	<i>What is the 50th percentile?</i>	<i>What is the 60th percentile?</i>	<i>What is the 75th percentile?</i>	<i>What is the estimated cost of care?</i>	<i>What percent of the estimated cost of care is the rate?</i>
Center Care for Preschoolers								
Base payment rate (per week)								
Full-Time Weekly Base Payment Rate								
Family Child Care for Preschoolers								
Base payment rate (per week)								
Full-Time Weekly Base Payment Rate								

School-Age (6 years)								
	Amount		According to Your Most Recent MRS				According to Your Most Recent Alternative Methodology	
		% of providers receiving this rate	<i>What is the percentile of this rate?</i>	<i>What is the 50th percentile?</i>	<i>What is the 60th percentile?</i>	<i>What is the 75th percentile?</i>	<i>What is the estimated cost of care?</i>	<i>What percent of the estimated cost of care is the rate?</i>
Center Care for School-Age								
Base payment rate (per week)								
Full-Time Weekly Base Payment Rate								
Family Child Care for School-Age								
Base payment rate (per week)								
Full-Time Weekly Base Payment Rate								

- b. Does the Lead Agency certify that the percentiles reported in the table above are calculated based on their most recent Market Rate Survey?
- i. Yes.
 - ii. No. If no, what is the year of the MRS that the Lead Agency used? What was the reason for not using the most recent MRS? Describe: [Click or tap here to enter text.](#)

4.3.3 Lead Agencies may 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 serving children with special needs as both an incentive for providers to serve children with special needs and as a way to cover the higher costs associated with serving children with special needs).

- a. Do you provide any rate add-ons above your base rate?
- i. Yes. If yes, please describe the add-ons, including what they are, who is eligible to receive the add-ons, and how often are they paid: [Click or tap here to enter text.](#)
 - ii. No.
- b. Has the Lead Agency chosen to implement tiered reimbursement or differential rates?
- i. No. Tiered or differential rates are not implemented.
 - ii. 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. Differential rate for non-traditional hours. Describe: [Click or tap here to enter text.](#)
 - B. Differential rate for children with special needs, as defined by the State/Territory. Describe: [Click or tap here to enter text.](#)
 - C. 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.](#)
 - D. 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.](#)
 - E. Differential rate for higher quality, as defined by the State/Territory. Describe: [Click or tap here to enter text.](#)
 - F. Other differential rates or tiered rates. For example, differential rates for geographic area, or for type of provider. Describe: [Click or tap here to enter text.](#)
 - G. If applicable, describe any additional add-on rates that you have besides those identified above. [Click or tap here to enter text.](#)

- c. Does the Lead Agency reduce provider payments if the price the provider charges to private-pay families not participating in CCDF is below the Lead Agency’s payment rate?
 - i. Yes. If yes, describe: [Click or tap here to enter text.](#)
 - ii. No.

4.3.4 Describe how you established your rates as noted below:

- a. What was the Lead Agency’s “methodology” or process for setting the rates or how did the Lead Agency use their data to set rates? [Click or tap here to enter text.](#)
- b. How did the Lead Agency determine that the rates are adequate to meet health, safety, quality, and staffing requirements under CCDF? [Click or tap here to enter text.](#)
- c. How did the Lead Agency use the cost of care, either from the narrow cost analysis or the Alternative Methodology to inform rate setting? [Click or tap here to enter text.](#)
- d. How did the Lead Agency account for the cost of higher quality while setting payment rates? [Click or tap here to enter text.](#)
- e. Identify and describe any additional facts (not covered in responses to 4.3.1 – 4.3.3) that the Lead Agency considered in determining its payment rates to ensure equal access. [Click or tap here to enter text.](#)

4.4 Payment Practices to Providers

Lead Agencies must demonstrate that they have established subsidy payment practices that reflect practices that are generally accepted in the private pay child care market, including ensuring the timeliness of payments, and, enrollment policies that support the fixed costs of providing child care by delinking provider payments from a child’s occasional absences as practicable. Lead Agencies must also (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. These policies apply to all provider types unless the Lead Agency can demonstrate that in limited circumstances the policies would not be considered generally-accepted payment practices.

In addition, Lead Agencies must 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.

4.4.1 The Lead Agency must demonstrate in the plan that their payment practices reflect generally accepted payment practices of child care providers who serve children who do not receive CCDF subsidies. Identify and describe the payment practices below that the Lead Agency has established for all CCDF child care providers:

- a. Does the Lead Agency ensure the timeliness of payments by paying prospectively (i.e., in advance of or no later than the first day of service delivery)?
 - i. Yes.
 - ii. No. If no:
 - A. What does the Lead Agency do to ensure the timeliness of payments? *Click or tap here to enter text.*
 - B. Do you have data to show that paying prospectively for fees is not a generally accepted payment practice? If so, describe: *Click or tap here to enter text.*
- b. Does the Lead Agency pay based on authorized enrollment?
 - i. Yes. The Lead Agency pays by enrollment and payment is not altered based on a child's attendance or the number of absences a child has.
 - ii. No. If no, which of the following absence policies or attendance policies does a Lead Agency use? (Lead Agencies must choose at least one.)
 - A. 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.*
 - B. Providing full payment if a child is absent for five or fewer days in a four-week period. Describe the policy or procedure. *Click or tap here to enter text.*
 - C. Using an alternative approach for delinking provider payments from a child's occasional absence. If chosen, describe the policy or procedure and the Lead Agency's justification for why approaches at A and B are not practicable, including evidence that the alternative approach will not undermine the stability of child care programs. *Click or tap here to enter text.*
- c. Lead Agencies must use the following two practices of unless the Lead Agency provides evidence that such practices are not generally accepted in its State:
 - i. Does the Lead Agency pay all providers on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time)?
 - A. Yes.
 - B. No. If no:
 - a. Describe the policies or procedures that are different than paying on a part-time or full-time basis: *Click or tap here to enter text.*

- A. 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.](#)
 - B. 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.](#)
- b. Identify the populations of children that are primarily served through grants or contracts for child care slots (check all that apply):
- i. Children with disabilities
 - ii. Infants and toddlers
 - iii. Children needing non-traditional hour care.
 - iv. School-age children
 - 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. Describe: [Click or tap here to enter text.](#)
- c. How are rates for contracted slots within grants and contracts determined by the Lead Agency? [Click or tap here to enter text.](#)

4.5.2 The Lead Agency must allow for in-home care (i.e., care provided in the child’s own home) but may limit its use. Will the Lead Agency limit the use of in-home care in any way?

- a. No.
- b. Yes. If yes, what limits will the Lead Agency set on the use of in-home care? Check all that apply.
 - i. 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.](#)
 - ii. Restricted based on the provider meeting a minimum age requirement. Describe: [Click or tap here to enter text.](#)
 - iii. 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.](#)
 - iv. 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.) Describe: [Click or tap here to enter text.](#)

- v. Restricted to care for children with special needs or a medical condition. Describe: [Click or tap here to enter text.](#)
- vi. 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.](#)
- vii. Other. Describe: [Click or tap here to enter text.](#)

4.5.3 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, including any analysis of child care deserts in your State/Territory. Also describe the method of tracking progress to support equal access and parental choice.

What child care shortages have you identified in your state? What is your plan to address the child care deserts and shortages?

- a. In infant and toddler programs:
 - i. Data sources used to identify shortages: [Click or tap here to enter text.](#)
 - ii. Method of tracking progress: [Click or tap here to enter text.](#)
 - iii. What is your plan to address the deserts and child care shortages in family child care homes and/or child care centers? [Click or tap here to enter text.](#)
- b. In different regions of your State or Territory:
 - i. Data sources used to identify shortages: [Click or tap here to enter text.](#)
 - ii. Method of tracking progress: [Click or tap here to enter text.](#)
 - iii. What is your plan to address the child care deserts and shortages in family child care homes and/or child care centers? [Click or tap here to enter text.](#)
- c. In care for special populations?
 - i. Data sources used to identify shortages: [Click or tap here to enter text.](#)
 - ii. Method of tracking progress: [Click or tap here to enter text.](#)
 - iii. What is your plan to address the child care deserts and shortages in family child care homes and/or centers? [Click or tap here to enter text.](#)

4.5.4 Lead Agencies must develop and implement strategies to increase the supply of and improve the quality of child care services. These strategies should address child care in underserved areas; infants and toddlers; children with disabilities, as defined by the Lead Agency; and children who receive care during non-traditional hours.

How does the Lead Agency identify any gaps in the supply and quality of child care service and what strategies are used to address those gaps for:

- a. Child care in underserved areas. Describe: [Click or tap here to enter text.](#)
- b. Infants and toddlers. Describe: [Click or tap here to enter text.](#)

- c. Children with disabilities. Describe: [Click or tap here to enter text.](#)
- d. Children who receive care during non-traditional hours. Describe: [Click or tap here to enter text.](#)
- e. Other. Specify what population is being focused on to increase supply or improve quality. Describe: [Click or tap here to enter text.](#)

4.5.5 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.

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.](#)

5 Health and Safety of Child Care Settings

Child care health and safety standards and enforcement practices are essential to protect the health and safety of children while out of their parents' care. CCDF provides a baseline for child care health and safety policies and practices but leaves authority to States/Territories to design standards that appropriately protect children's safety and promote nurturing environments that support their healthy growth and development. Lead Agencies should set standards for ratios, group sizes, and provider qualifications that help ensure that the child care environment is conducive to safety and learning and enable caregivers to promote all domains of children's development.

CCDF health and safety standards help set clear expectations for CCDF providers, form the foundation for health and safety training for child care workers, and establish the baseline for monitoring to ensure compliance with health and safety requirements. These health and safety requirements apply to all providers serving children receiving CCDF services – whether the providers are licensed or license-exempt and 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 by the State/Territory. CCDF-required annual monitoring and enforcement actions help ensure that CCDF providers are adopting and implementing health and safety requirements.

Through child care licensing, States and Territories set minimum requirements, including health and safety requirements, that child care providers must meet to legally operate in that State or Territory. These requirements help ensure children attending child care are healthy and safe. 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.

This section addresses CCDF health and safety requirements, State/Territory licensing requirements and exemptions, and policies and procedures for comprehensive background checks.

When responding to questions in this section, OCC recognizes that each State/Territory identifies and defines its own categories of care. OCC does not expect States/Territories to change their

definitions to fit the CCDF-defined categories of care. For these questions, provide responses that best match the CCDF categories of care.

5.1 Licensing Requirements

Each Lead Agency must ensure their State/Territory 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.

- 5.1.1 For each category of care listed below, identify the type of providers subject to licensing and describe the licensing requirements.
- a. Identify the center-based provider types subject to child care licensing: *Click or tap here to enter text.*
 - i. Are there categories of regulated or registered center providers the State/Territory does not categorize as license-exempt?
 - A. Yes. If yes, describe: *Click or tap here to enter text.*
 - B. No.
 - ii. Briefly summarize the licensing requirements, including any applicable licensing requirement variations (e.g., school-age licensing separate from other child care center licensing requirements): *Click or tap here to enter text.*
 - b. Identify the family child care providers subject to licensing: *Click or tap here to enter text.*
 - i. Are there categories of regulated or registered family child care providers the State/Territory does not categorize as license-exempt?
 - A. Yes. If yes, describe: *Click or tap here to enter text.*
 - B. No.
 - ii. Briefly summarize the licensing requirements for family child care providers: *Click or tap here to enter text.*
 - c. Identify the in-home providers subject to licensing: *Click or tap here to enter text.*
 - i. Are there categories of regulated or registered in-home providers the State/Territory does not categorize as license-exempt?
 - A. Yes. If yes, describe: *Click or tap here to enter text.*
 - B. No.
 - ii. Briefly summarize the licensing requirements for in-home providers: *Click or tap here to enter text.*
- 5.1.2 Identify the categories of 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. Do not include exempt relative care providers; this information will be collected in subsection 5.8.

- a. License-exempt center-based child care. Describe by answering the questions below.
 - i. Identify the categories of CCDF-eligible center-based child care providers who are exempt from licensing requirements. [Click or tap here to enter text.](#)
 - ii. 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.](#)
 - 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 by answering the questions below.
 - i. Identify the categories of CCDF-eligible family child care providers who are exempt from licensing requirements. [Click or tap here to enter text.](#)
 - ii. 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.](#)
 - 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 by answering the questions below.
 - i. Identify the categories of CCDF-eligible in-home care (care in the child’s own home by a non- relative) providers who are exempt from licensing requirements. [Click or tap here to enter text.](#)
 - ii. 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.](#)
 - 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 Ratios, Group Size, and Qualifications for CCDF Providers

Lead Agencies must have child care standards for providers receiving CCDF funds, appropriate to the type of child care setting involved, and they must address appropriate ratios between the number of children and number of staff providing care, group size limits for specific age populations, and the required qualifications for providers. Lead Agencies should map their categories of care to the CCDF categories. Exemptions for relative providers will be addressed in subsection 5.8.

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 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 different, provide the ratios and group size requirements for the license-exempt center-based providers who receive CCDF funds under the following age groups:
 - A. Infant: *Click or tap here to enter text.*
 - B. Toddler: *Click or tap here to enter text.*
 - C. Preschool: *Click or tap here to enter text.*
 - D. School-Age: *Click or tap here to enter text.*
 - E. Mixed-Age Groups: *Click or tap here to enter text.*
 - b. Licensed CCDF family child care home providers:
 - i. Infant (if applicable)
 - A. Ratio: *Click or tap here to enter text.*
 - B. Group size: *Click or tap here to enter text.*
 - ii. Toddler (if applicable)
 - A. Ratio: *Click or tap here to enter text.*
 - B. Group size: *Click or tap here to enter text.*

- iii. Preschool (if applicable)
 - A. Ratio: *Click or tap here to enter text.*
 - B. Group size: *Click or tap here to enter text.*
- iv. School-Age (if applicable)
 - A. Ratio: *Click or tap here to enter text.*
 - B. Group size: *Click or tap here to enter text.*
- v. Mixed-Age Groups
 - A. Ratio: *Click or tap here to enter text.*
 - B. Group size: *Click or tap here to enter text.*
- vi. Are any of the responses above different for license-exempt child care homes?
 - N/A.
 - No.
 - Yes. If yes, describe how the ratio and group size requirements for license-exempt providers vary by age of children served. *Click or tap here to enter text.*
- c. Licensed in-home care (care in the child’s own home):
 - i. Infant (if applicable)
 - A. Ratio: *Click or tap here to enter text.*
 - B. Group size: *Click or tap here to enter text.*
 - ii. Toddler (if applicable)
 - A. Ratio: *Click or tap here to enter text.*
 - B. Group size: *Click or tap here to enter text.*
 - iii. Preschool (if applicable)
 - A. Ratio: *Click or tap here to enter text.*
 - B. Group size: *Click or tap here to enter text.*
 - iv. School-Age (if applicable)
 - 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. Are any of the responses above different for license-exempt in-home care?
 - A. N/A.

- B. No.
- C. Yes. If yes, describe how the ratio and group size requirements for license-exempt providers vary by age of children served. [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 (e.g., degrees, credentials, etc.), 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.](#)
- 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.](#)
- 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.](#)

5.2.4 Provide the provider qualification requirements (for instance, age, high school diploma, specific training, etc.) for the license-exempt providers identified in question 5.1.2 under the following categories of care:

- a. License-exempt center-based child care. [Click or tap here to enter text.](#)
- b. License-exempt home-based child care. [Click or tap here to enter text.](#)
- c. License-exempt in-home care (care in the child’s own home). [Click or tap here to enter text.](#)

5.3 Health and Safety Standards for CCDF Providers

States and Territories must have health and safety standards for providers (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. 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.

Exemptions for relative providers’ standards requirements will be addressed in question 5.8.1.

Describe the following health and safety standards for programs serving children receiving CCDF assistance on the following topics identified in questions 5.3.1–5.3.12. Note: Monitoring and enforcement will be addressed in subsection 5.6.

- 5.3.1 Prevention and control of infectious diseases (including immunizations) health and safety standard(s)
- a. Provide the standard that addresses the prevention and control of infectious diseases: *Click or tap here to enter text.*
 - b. Provide the standard that addresses that children attending child care programs under CCDF are age-appropriately immunized, according to the latest recommendation for childhood immunizations of the respective State public health agency: *Click or tap here to enter text.*
 - c. Check to certify that the standards reported in a. and b. apply to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care
 - ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that these standards apply to: *Click or tap here to enter text.*
 - d. Are these standards in place for both licensed and license-exempt providers?
 - i. Yes.
 - ii. No. If no, provide the alternate standard(s) that addresses the prevention and control of infectious diseases (including immunizations) for each provider to which the above standard does not apply: *Click or tap here to enter text.*
 - e. Check if these standards are in place for the following age groups:
 - i. Infants
 - ii. Toddlers
 - iii. Preschoolers
 - iv. School-age children
 - f. How are providers held accountable for implementing these standards?
 - i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: *Click or tap here to enter text.*

5.3.2 Prevention of sudden infant death syndrome and the use of safe-sleep practices health and safety standard(s)

- a. Provide the standard that addresses the prevention of sudden infant death syndrome and use of safe sleeping practices. [Click or tap here to enter text.](#)
- b. Check to certify that the standard reported in a. applies to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care
 - ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that this standard applies to: [Click or tap here to enter text.](#)
- c. Is this standard in place for both licensed and license-exempt providers?
 - i. Yes.
 - ii. No. If no, provide the alternate standard(s) that addresses the prevention of sudden infant death syndrome and the use of safe-sleep practices for each provider to which the above standard does not apply: [Click or tap here to enter text.](#)
- d. Check if this standard is in place for the following age groups:
 - i. Infants
 - ii. Toddlers
- e. How are providers held accountable for implementing this standard?
 - i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: [Click or tap here to enter text.](#)

5.3.3 Administration of medication, consistent with standards for parental consent health and safety standard(s).

- a. Provide the standard that addresses the administration of medication. [Click or tap here to enter text.](#)
- b. Provide the standard that addresses obtaining permission from parents to administer medications to children. [Click or tap here to enter text.](#)
- c. Check to certify that the standards reported in a. and b. apply to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care

- ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that these standards apply to: [Click or tap here to enter text.](#)
- d. Are these standards in place for both licensed and license-exempt providers?
- i. Yes.
 - ii. No. If no, provide the alternate standard(s) that addresses the administration of medication, consistent with standards for parental consent for each provider to which the above standards do not apply: [Click or tap here to enter text.](#)
- e. Check if these standards are in place for the following age groups:
- i. Infants
 - ii. Toddlers
 - iii. Preschoolers
 - iv. School-age children
- f. How are providers held accountable for implementing these standards?
- i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: [Click or tap here to enter text.](#)

5.3.4 Prevention of and response to emergencies related to food and allergic reactions health and safety standard(s).

- a. Provide the standard that addresses the prevention of emergencies due to food and allergic reactions. [Click or tap here to enter text.](#)
- b. Provide the standard that addresses the response to emergencies due to food and allergic reactions. [Click or tap here to enter text.](#)
- c. Check to certify that the standards reported in a. and b. apply to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care
 - ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that these standards apply to: [Click or tap here to enter text.](#)
- d. Are these standards in place for both licensed and license-exempt providers?

- i. Yes.
 - ii. No. If no, provide the alternate standard(s) that addresses the prevention of and response to emergencies due to food and allergic reactions for each provider to which the above standards do not apply: *Click or tap here to enter text.*
- e. Check if these standards are in place for the following age groups:
- i. Infants
 - ii. Toddlers
 - iii. Preschoolers
 - iv. School-age children
- f. How are providers held accountable for implementing these standards?
- i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: *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 health and safety standard(s).

- a. Provide the standard that addresses the identification of and protection from building and physical premises hazards. *Click or tap here to enter text.*
- b. Provide the standard that addresses the identification of and protection from bodies of water. *Click or tap here to enter text.*
- c. Provide the standard that addresses the identification of and protection from vehicular traffic hazards. *Click or tap here to enter text.*
- d. Check to certify that the standards reported in a. through c. apply to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care
 - ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that these standards apply to: *Click or tap here to enter text.*
- e. Are these standards in place for both licensed and license-exempt providers?
 - i. Yes.

- ii. No. If no, provide the alternate standard(s) that addresses building and physical premises safety, including the identification of and protection from hazards, bodies of water, and vehicular traffic for each provider to which the above standards do not apply: [Click or tap here to enter text.](#)
- f. Check if these standards are in place for the following age groups:
 - i. Infants
 - ii. Toddlers
 - iii. Preschoolers
 - iv. School-age children
- g. How are providers held accountable for implementing these standards?
 - i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: [Click or tap here to enter text.](#)

5.3.6 Prevention of shaken baby syndrome, abusive head trauma, and maltreatment health and safety standard(s).

- a. Provide the standard that addresses the prevention of shaken baby syndrome and abusive head trauma and indicate the age of children it applies to. [Click or tap here to enter text.](#)
- b. Provide the standard that addresses the prevention of child maltreatment and indicate the age of children it applies to. [Click or tap here to enter text.](#)
- c. Check to certify that the standards reported in a. and b. apply to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care
 - ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that these standards apply to: [Click or tap here to enter text.](#)
- d. Are these standards in place for both licensed and license-exempt providers?
 - i. Yes.
 - ii. No. If no, provide the alternate standard(s) that addresses the prevention of shaken baby syndrome, abusive head trauma, and maltreatment for each provider to which the above standards do not apply: [Click or tap here to enter text.](#)
- e. How are providers held accountable for implementing these standards?

- i. Inspections
- ii. File reviews
- iii. Signed provider agreements
- iv. Self-report
- v. Other. Describe: [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)) health and safety standard(s).

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. Identify by checking below that the standard addresses emergency preparedness and response planning due to natural disasters and human-caused events in the following areas:
 - i. Evacuation
 - ii. Relocation
 - iii. Shelter-in-place
 - iv. Lock down
 - v. Staff emergency preparedness
 - A. Training
 - B. Practice drills
 - vi. Volunteer emergency preparedness
 - A. Training
 - B. Practice drills
 - vii. Communication with families
 - viii. Reunification with families
 - ix. Continuity of operations
 - x. Accommodation of
 - A. Infants
 - B. Toddlers
 - C. Children with disabilities

- D. Children with chronic medical conditions
- b. Check to certify that the standard reported in a. applies to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care
 - ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that this standard applies to: *Click or tap here to enter text.*
- c. Is this standard in place for both licensed and license-exempt providers?
 - i. Yes.
 - ii. No. If no, provide the alternate standard(s) that addresses emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event for each provider to which the above standard does not apply: *Click or tap here to enter text.*
- d. Check if these standards are in place for the following age groups:
 - i. Infants
 - ii. Toddlers
 - iii. Preschoolers
 - iv. School-age children
- e. How are providers held accountable for implementing this standard?
 - i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: *Click or tap here to enter text.*

5.3.8 Handling and storage of hazardous materials and the appropriate disposal of biocontaminants health and safety standard(s).

- a. Provide the standard that addresses the handling and storage of hazardous materials. *Click or tap here to enter text.*
- b. Provide the standard that addresses the disposal of bio contaminants. *Click or tap here to enter text.*
- c. Check to certify that the standards reported in a. and b. apply to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care

- ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that this standard applies to: [Click or tap here to enter text.](#)
- d. Are these standards in place for both licensed and license-exempt providers?
- i. Yes.
 - ii. No. If no, provide the alternate standard(s) that addresses the handling and storage of hazardous materials and the appropriate disposal of biocontaminants for each provider to which the above standards do not apply: [Click or tap here to enter text.](#)
- e. Check if these standards are in place for the following age groups:
- i. Infants
 - ii. Toddlers
 - iii. Preschoolers
 - iv. School-age children
- f. How are providers held accountable for implementing these standards?
- i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: [Click or tap here to enter text.](#)

5.3.9 Precautions in transporting children (if applicable) health and safety standard(s).

- a. Provide the standard that addresses precautions in transporting children: [Click or tap here to enter text.](#)
- b. Check to certify that the standard reported in a. applies to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care
 - ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that this standard applies to: [Click or tap here to enter text.](#)
- c. Is this standard in place for both licensed and license-exempt providers?
 - i. Yes.

- ii. No. If no, provide the alternate standard(s) that addresses precautions in transporting children for each provider to which the above standard does not apply: [Click or tap here to enter text.](#)
- d. Check if this standard is in place for the following age groups:
 - i. Infants
 - ii. Toddlers
 - iii. Preschoolers
 - iv. School-age children
- e. How are providers held accountable for implementing this standard?
 - i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: [Click or tap here to enter text.](#)

5.3.10 Pediatric first aid and pediatric cardiopulmonary resuscitation (CPR) health and safety standard(s).

- a. Provide the standard that addresses pediatric first aid for all staff: [Click or tap here to enter text.](#)
- b. Provide the standard that addresses pediatric cardiopulmonary resuscitation: [Click or tap here to enter text.](#)
- c. Check to certify that the standards reported in a. and b. apply to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care
 - ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that these standards apply to: [Click or tap here to enter text.](#)
- d. Are these standards in place for both licensed and license-exempt providers?
 - i. Yes.
 - ii. No. If no, provide the alternate standard(s) that addresses pediatric first aid and pediatric CPR for each provider to which the above standards do not apply: [Click or tap here to enter text.](#)
- e. Check if these standards are in place for the following age groups:
 - i. Infants
 - ii. Toddlers

- iii. Preschoolers
- iv. School-age children
- f. How are providers held accountable for implementing these standards
 - i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: *Click or tap here to enter text.*

5.3.11 Identification and reporting of child abuse and neglect health and safety standard(s).

- a. Provide the standard that addresses the identification of child abuse and neglect: *Click or tap here to enter text.*
- b. Provide your standard that addresses the reporting of child abuse and neglect: *Click or tap here to enter text.*
- c. Confirm if child care providers must comply with the State/Territory's procedures for reporting child abuse and neglect as required by the Child Abuse Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i).
 - i. Yes, confirmed.
 - ii. No. Describe: *Click or tap here to enter text.*
- d. Check to certify that the standards reported in a. and b. apply to all CCDF-eligible providers in the State/Territory who fall into each of these categories:
 - i. All CCDF-eligible center care
 - ii. All CCDF-eligible family child care homes
 - iii. All CCDF-eligible in-home care
 - iv. Other. Identify any other provider types in your State/Territory that this standard applies to: *Click or tap here to enter text.*
- e. Are these standards in place for both licensed and license-exempt providers?
 - i. Yes.
 - ii. No. If no, provide the alternate standard(s) that addresses the recognition and reporting of child abuse and neglect for each provider to which the above standards do not apply: *Click or tap here to enter text.*
- f. Check if these standards are in place for the following age groups:
 - i. Infants
 - ii. Toddlers
 - iii. Preschoolers

- iv. School-age children
- g. How are providers held accountable for implementing these standards?
 - i. Inspections
 - ii. File reviews
 - iii. Signed provider agreements
 - iv. Self-report
 - v. Other. Describe: *Click or tap here to enter text.*

5.3.12 In addition to the required health and safety standards, does the Lead Agency require providers to comply with the following optional standards?

- a. No. If no, skip to subsection 5.4.
- b. Yes. If yes, describe the standard(s). (Check all that apply)
 - i. Nutrition. Describe: *Click or tap here to enter text.*
 - ii. Access to physical activity. Describe: *Click or tap here to enter text.*
 - iii. Caring for children with special needs. Describe: *Click or tap here to enter text.*
 - iv. Any other areas determined necessary to promote child development or to protect children’s health and safety. Describe: *Click or tap here to enter text.*

5.4 Pre-Service or Orientation Training on the Health and Safety Standards for CCDF Providers

Lead Agencies must 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 standards 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.

Pre-service or orientation and training should be a part of a broader systematic approach and progression of professional development within a State/Territory. Exemptions for relative providers’ training requirements are addressed in question 5.8.1.

5.4.1 Lead Agencies must certify they have the following health and safety training requirements in place for staff in programs serving children receiving CCDF assistance. In the table below, check the boxes for which you have training requirements.

	This standard is addressed in the pre-service or orientation training.	The training on this standard is appropriate to different settings and age groups.	Training requirement must be completed before the child care provider can care for children unsupervised.
a. Prevention and control of infectious diseases (including immunizations)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. SIDS prevention and use of safe sleep practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Administration of medication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Prevention and response to food and allergic reactions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Building and physical premises safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Prevention of shaken baby syndrome, abusive head trauma and child maltreatment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Emergency preparedness and response planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Handling and storage of hazardous materials and disposal of biocontaminants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Precautions in transporting children	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Pediatric first aid and CPR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. Child abuse and neglect recognition and reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
l. Child development including major domains of cognitive, social, emotional, physical development and approaches to learning.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 5.4.2 Are there any provider categories to whom the above pre-service or orientation training requirements do not apply?
- a. No
 - b. Yes. If yes, please describe: *Click or tap here to enter text.*
- 5.4.3 How do you ensure that the required pre-service or orientation training covers these standards? *Click or tap here to enter text.*
- 5.4.4 How do you ensure that required staff complete the training? *Click or tap here to enter text.*

5.5 Training and Professional Development Requirements (Ongoing Training)

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 in all age groups and to improve the knowledge and skills of the child care workforce. Such requirements must be applicable to child care providers caring for children receiving CCDF funds across the entire age span. Ongoing training and professional development should be accessible and appropriate to the setting and age of the children served.

- 5.5.1 Ongoing health and safety training
- a. How do providers receive updated information and/or training regarding the 10 health and safety standards, child abuse and neglect identification and reporting, and child development appropriate to the setting and age of children served? 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.*
 - b. Provide the number of hours of ongoing training required annually for eligible CCDF providers in the following settings:
 - i. Licensed child care centers: *Click or tap here to enter text.*
 - ii. License-exempt child care centers: *Click or tap here to enter text.*
 - iii. Licensed family child care homes: *Click or tap here to enter text.*
 - iv. License-exempt family child care homes: *Click or tap here to enter text.*
 - v. Regulated or registered in-home child care: *Click or tap here to enter text.*
 - vi. Non-regulated or registered in-home child care: *Click or tap here to enter text.*
- 5.5.2 Describe how the State/Territory incorporates its health and safety standards (as described in Section 5) into ongoing training and professional development opportunities: *Click or tap here to enter text.*

- 5.5.3 Describe how the State’s/Territory’s training and professional development are accessible to providers supported through Indian tribes or Tribal organizations receiving CCDF funds (as applicable). [Click or tap here to enter text.](#)
- 5.5.4 Describe how the State’s/Territory’s training and professional development requirements reflect the diversity of children, families, and child care providers participating in CCDF. To the extent practicable, how does professional development include specialized training or credentials for providers who care for infants or school-age children; individuals with limited English proficiency; children who are bilingual; children with developmental delays or disabilities; and/or Native Americans, including Indians, as the term is defined in Section 900.6 in subpart B of the Indian Self-Determination and Education Assistance Act (including Alaska Natives) and Native Hawaiians? [Click or tap here to enter text.](#)
- 5.5.5 Does the Lead Agency ensure that child care providers receive the information about developmental screenings through training and professional development?
- a. Yes.
- b. No. If no, describe (optional): [Click or tap here to enter text.](#)

5.6 Monitoring and Enforcement Policies and Practices for Licensing and Health and Safety Requirements

- 5.6.1 Licensing inspectors must perform at least one annual, unannounced inspection of each licensed CCDF provider for compliance with all child care licensing standards, including an inspection for compliance with health and safety and fire standards. Lead Agencies must conduct at least one pre-licensure inspection for compliance with health, safety, and fire standards—of each child care provider and facility in the State/Territory.
- a. Licensed CCDF center-based child care
- i. Does your pre-licensure inspection for providers confirm compliance with health standards, safety standards, and fire standards?
- A. Yes.
- B. No. If checked, describe: [Click or tap here to enter text.](#)
- ii. Identify the frequency of unannounced inspections addressing compliance with health, safety, and fire standards:
- A. Annually.
- B. More than once a year. If checked, describe: [Click or tap here to enter text.](#)
- iii. Does the Lead Agency implement a differential monitoring approach when monitoring licensed providers?
- A. Yes. Describe how the differential monitoring approach is representative of the full complement of health and safety requirements. [Click or tap here to enter text.](#)

- B. No.
 - iv. Identify which department or agency is responsible for completing the inspections for licensed CCDF providers. *Click or tap here to enter text.*
- b. Licensed CCDF family child care home
 - i. Does your pre-licensure inspection for providers confirm compliance with health standards, safety standards, and fire standards?
 - A. Yes.
 - B. No. If checked, describe: *Click or tap here to enter text.*
 - ii. Identify the frequency of unannounced inspections addressing compliance with health, safety, and fire standards:
 - A. Annually.
 - B. More than once a year. If checked, describe: *Click or tap here to enter text.*
 - iii. Does the Lead Agency implement a differential monitoring approach when monitoring licensed providers?
 - A. Yes. Describe how the differential monitoring approach is representative of the full complement of health and safety requirements. *Click or tap here to enter text.*
 - B. No.
 - iv. Identify which department or agency is responsible for completing the inspections for licensed CCDF providers. *Click or tap here to enter text.*
- c. Licensed in-home CCDF child care provider
 - i. Does your State/Territory license CCDF in-home child care (care in the child’s own home) providers?
 - No.
 - Yes. If yes:
 - A. Does your pre-licensure inspection for in-home providers confirm compliance with health, safety, and fire standards?
 - a. Yes.
 - b. No. If checked, describe: *Click or tap here to enter text.*
 - B. Identify the frequency of unannounced inspections for compliance with health, safety, and fire standards completed:
 - a. Annually.
 - b. More than once a year. If checked, describe: *Click or tap here to enter text.*

- C. Does the Lead Agency implement a differential monitoring approach when monitoring licensed providers?
 - a. Yes. Describe how the differential monitoring approach is representative of the full complement of health and safety requirements. *Click or tap here to enter text.*
 - b. No.
- D. Identify which department or agency is responsible for completing the inspections for licensed CCDF providers. *Click or tap here to enter text.*

5.6.2 Lead Agencies must ensure that all child care providers caring for children receiving CCDF services comply with all applicable State and local health and safety requirements. 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 5.6.1.

- a. Describe how the Lead Agency ensures that CCDF-eligible providers comply with the required Health and Safety **Standards** described in Section 5.3. *Click or tap here to enter text.*
- b. Describe how the Lead Agency ensures that CCDF-eligible providers comply with the required Health and Safety **Training** described in Section 5.4.
 - i. Describe the procedures for ensuring the preservice/orientation training is completed within 3 months. *Click or tap here to enter text.*
 - ii. Describe the procedures for ensuring the ongoing training is completed. *Click or tap here to enter text.*
- c. Describe how the Lead Agency ensures that CCDF-eligible providers comply with all other applicable State and local health, safety, and fire standards. *Click or tap here to enter text.*

5.6.3 Licensing inspectors must perform at least one annual monitoring visit of each license-exempt CCDF provider for compliance with health, safety and fire standards. Inspections for relative providers will be addressed in subsection 5.8.

Describe the policies and practices for the annual monitoring of:

- a. License-exempt CCDF center-based child care providers
 - i. Identify the frequency of inspections for compliance with health, safety, and fire standards for license-exempt center base providers:
 - A. Annually.
 - B. More than once a year.
 - ii. Does the Lead Agency implement a differential monitoring approach when monitoring license-exempt center-based providers?
 - A. Yes. Describe how the differential monitoring approach is representative of the full complement of health and safety requirements. *Click or tap here to enter text.*

- B. No.
- iii. Identify which department or agency is responsible for completing the inspections for license-exempt center-based CCDF providers. *Click or tap here to enter text.*
- b. License-exempt CCDF family child care providers
 - i. Identify the frequency of the inspections of license-exempt family child care home providers to determine compliance with health, safety and fire standards:
 - A. Annually.
 - B. More than once a year.
 - ii. Does the Lead Agency implement a differential monitoring approach when monitoring license-exempt family child care home providers?
 - A. Yes. Describe how the differential monitoring approach is representative of the full complement of health and safety requirements. *Click or tap here to enter text.*
 - B. No.
 - iii. Identify which department or agency is responsible for completing the inspections for license-exempt family child care home CCDF providers. *Click or tap here to enter text.*

5.6.4 Lead Agencies have the option to develop alternate monitoring requirements for care provided in the child’s home that are appropriate to the setting. 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.

- a. Describe the requirements for the annual monitoring of CCDF license-exempt in-home child care (care in the child’s own home) providers, 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. List the entity(ies) in your State/Territory responsible for conducting inspections of license-exempt CCDF in-home child care (care in the child’s own home) providers: *Click or tap here to enter text.*

5.6.5 Lead Agencies must post on their consumer education website monitoring and inspection reports for each licensed child care provider and for each child care provider eligible to provide CCDF services, except in cases where the provider is related to all the children in their care. 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/Territory does not produce any reports that include areas of compliance, the website must include information about all areas covered by a monitoring visit.

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 monitoring and inspection reports.

- a. Does the Lead Agency post? (Check all that apply):
 - i. Full monitoring and inspection reports that include areas of compliance and non-compliance for all non-relative providers eligible to provide CCDF services.
 - ii. Pre-licensing inspection reports for licensed programs.
 - iii. Monitoring and inspection 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) for all non-relative providers eligible to provide CCDF services. 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 if the monitoring and inspection reports and any related plain language summaries include:
 - i. Date of inspection.
 - ii. 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.](#)
 - iii. Corrective action plans taken by the State and/or child care provider. Describe: [Click or tap here to enter text.](#)
 - iv. A minimum of 3 years of results, where available.
- c. Lead Agencies must post monitoring and inspection reports and/or any related summaries in a timely manner.
 - i. Provide the direct URL/website link to where the reports are posted: [Click or tap here to enter text.](#)
 - ii. Identify the Lead Agency's established timeline for posting monitoring reports and describe how it is timely: [Click or tap here to enter text.](#)

- d. Monitoring and inspection reports or the summaries must be in plain language so they are understandable to parents and other consumers.

Does the Lead Agency certify that the monitoring and inspection reports or the summaries are in plain language?

- i. Yes.
- ii. No. If no, describe (optional): [Click or tap here to enter text.](#)

- e. Does the Lead Agency certify that there is a process for correcting inaccuracies in the monitoring and inspection reports?

- i. Yes.
- ii. No. If no, describe (optional): [Click or tap here to enter text.](#)

- f. Does the Lead Agency maintain monitoring and inspection reports on the consumer education website?

- i. Yes.
- ii. No. If no, describe (optional): [Click or tap here to enter text.](#)

- 5.6.6 Lead Agencies must 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.

Describe how the Lead Agency ensures that licensing inspectors (or qualified monitors designated by the Lead Agency) are qualified and 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. [Click or tap here to enter text.](#)

- 5.6.7 Lead Agencies must ensure the ratio of licensing inspectors to child care providers and facilities in the State/Territory are 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.

Provide 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.](#)

5.7 Comprehensive Background Checks

States and Territories must conduct comprehensive background checks for all child care staff members (including prospective staff members) of all child care providers that are (1) licensed, regulated, or registered under State/Territory law, regardless of whether they receive CCDF funds; or (2) all other child care providers eligible to deliver CCDF services (e.g., license-exempt CCDF eligible child care providers). Family child care home providers must also submit background check requests for all household members age 18 or older.

A comprehensive background check must include: three in-state checks, two national checks, and three interstate checks if the individual resided in another State or Territory in the preceding 5 years. The background check components must be completed at least once every five years.

All child care staff members must receive a qualifying result from either the FBI criminal background check or an in-state fingerprint criminal history check before working with or near children. Lead Agencies must apply a CCDF-specific list of disqualifying crimes for child care providers serving families participating in CCDF.

These background check requirements do not apply to individuals who are related to all children for whom child care services are provided. Exemptions for relative providers will be addressed in subsection 5.8.

5.7.1 In-state criminal history check with fingerprints

- a. Does the State/Territory conduct in-state criminal history background checks with fingerprints for all child care staff members (including prospective staff members) of licensed, regulated, or registered child care providers, regardless of CCDF participation?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct in-state criminal background checks. [Click or tap here to enter text.](#)
- b. Does the State/Territory conduct in-state criminal history background checks with fingerprints for all child care staff members (including prospective staff members) of child care providers eligible for CCDF participation (other than relative providers)?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct in-state criminal background checks. [Click or tap here to enter text.](#)
- c. Does the State/Territory conduct the in-state criminal background check for all individuals age 18 or older who reside in a family child care home?
 - i. Yes.
 - ii. No. Describe individuals age 18 or older who reside in a family child care home who do not receive an in-state criminal background check. [Click or tap here to enter text.](#)

5.7.2 National Federal Bureau of Investigation (FBI) Criminal History Check with fingerprints

- a. Does the State/Territory conduct FBI criminal history background checks with fingerprints for all child care staff members (including prospective staff members) of licensed, regulated, or registered child care providers, regardless of CCDF participation?
 - i. Yes.

- ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct FBI criminal background checks. [Click or tap here to enter text.](#)
- b. Does the State/Territory conduct FBI criminal history background checks with fingerprints for all child care staff members (including prospective staff members) of child care providers eligible for CCDF participation (other than relative providers)?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct FBI criminal background checks. [Click or tap here to enter text.](#)
- c. Does the State/Territory conduct the FBI criminal background check for all individuals age 18 or older who reside in a family child care home?
 - i. Yes.
 - ii. No. Describe individuals age 18 or older who reside in a family child care home who do not receive a FBI criminal background check. [Click or tap here to enter text.](#)

5.7.3 National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) Name-Based Check

Note: The majority of NCIC NSOR records are fingerprint records and are automatically included in the FBI fingerprint criminal background check. But a small percentage of NCIC NSOR records are only name-based records for reasons such as fingerprint rejection by the FBI for poor quality or because no fingerprints were recorded at the time of arrest. This small percentage of records can be accessed through the required name-based search of the NCIC NSOR.

- a. Does the State/Territory conduct NCIC NSOR background checks with fingerprints for all child care staff members (including prospective staff members) of licensed, regulated, or registered child care providers, regardless of CCDF participation?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct NCIC NSOR name-based background checks. [Click or tap here to enter text.](#)
- b. Does the State/Territory conduct NCIC NSOR name-based background checks with fingerprints for all child care staff members (including prospective staff members) of child care providers eligible for CCDF participation (other than relative providers)?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct NCIC NSOR name-based background checks. [Click or tap here to enter text.](#)
- c. Does the State/Territory conduct the NCIC NSOR name-based background check for all individuals age 18 or older who reside in a family child care home?

- i. Yes.
- ii. No. Describe individuals age 18 or older who reside in a family child care home who do not receive a NCIC NSOR name-based background check. [Click or tap here to enter text.](#)

5.7.4 In-state sex offender registry (SOR) check

- a. Does the State/Territory conduct SOR checks for all child care staff members (including prospective staff members) of licensed, regulated, or registered child care providers, regardless of CCDF participation?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct SOR background checks. [Click or tap here to enter text.](#)
- b. Does the State/Territory conduct SOR background checks for all child care staff members (including prospective staff members) of child care providers eligible for CCDF participation (other than relative providers)?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct SOR background checks. [Click or tap here to enter text.](#)
- c. Does the State/Territory conduct the SOR background check for all individuals age 18 or older who reside in a family child care home?
 - i. Yes.
 - ii. No. Describe individuals age 18 or older who reside in a family child care home who do not receive a SOR background check. [Click or tap here to enter text.](#)

5.7.5 In-state child abuse and neglect (CAN) registry check

- a. Does the State/Territory conduct CAN registry checks with fingerprints for all child care staff members (including prospective staff members) of licensed, regulated, or registered child care providers, regardless of CCDF participation?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct CAN registry checks. [Click or tap here to enter text.](#)
- b. Does the State/Territory conduct CAN registry checks with fingerprints for all child care staff members (including prospective staff members) of child care providers eligible for CCDF participation (other than relative providers)?
 - i. Yes.

- ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct CAN registry checks. [Click or tap here to enter text.](#)
- c. Does the State/Territory conduct the CAN registry check for all individuals age 18 or older who reside in a family child care home?
 - i. Yes.
 - ii. No. Describe individuals age 18 or older who reside in a family child care home who do not receive a CAN registry check. [Click or tap here to enter text.](#)

5.7.6 Interstate criminal history check

(Note: The response for this question should detail how a State or Territory conducts an interstate check for a child care staff member (including prospective child care staff members) who currently lives in their State or Territory but has lived in another State, Territory or Tribal land within the previous 5 years.)

- a. Does the State/Territory conduct interstate criminal history background checks for any staff member (or prospective staff member) who resided in other state(s) in the past 5 years of licensed, regulated, or registered child care providers, regardless of CCDF participation?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct interstate criminal history background checks. [Click or tap here to enter text.](#)
- b. Does the State/Territory conduct interstate criminal history background checks for any staff member (or prospective staff member) who resided in other state(s) in the past 5 years eligible for CCDF participation (other than relative providers)?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct interstate criminal history background checks. [Click or tap here to enter text.](#)
- c. Does the State/Territory conduct the interstate criminal history background checks for all individuals age 18 or older who resided in other state(s) in the past 5 years who reside in a family child care home?
 - i. Yes.
 - ii. No. Describe individuals age 18 or older that resided in other state(s) in the past 5 years who reside in a family child care home that do not receive an interstate criminal history background check. [Click or tap here to enter text.](#)

5.7.7 Interstate Sex Offender Registry (SOR) check

(Note: Responses to this question should detail how a State or Territory conducts an interstate check for a provider who currently lives in their State or Territory but has lived

in another State, Territory, or Tribal land within the previous five years.)

- a. Does the State/Territory conduct interstate SOR checks for any staff member (or prospective staff member) who resided in other state(s) in the past 5 years of licensed, regulated, or registered child care providers, regardless of CCDF participation?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct interstate SOR checks. [Click or tap here to enter text.](#)
- b. Does the State/Territory conduct interstate SOR checks for any staff member (or prospective staff member) who resided in other state(s) in the past 5 years eligible for CCDF participation (other than relative providers)?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct interstate SOR checks. [Click or tap here to enter text.](#)
- c. Does the State/Territory conduct the interstate SOR checks for all individuals age 18 or older who resided in other state(s) in the past 5 years who reside in a family child care home?
 - i. Yes.
 - ii. No. Describe individuals age 18 or older that resided in other state(s) in the past 5 years who reside in a family child care home that do not receive a SOR check. [Click or tap here to enter text.](#)

5.7.8 Interstate child abuse and neglect (CAN) registry check

(Note: The response to this question should detail how a State or Territory conducts an interstate check for a provider who currently lives in their State or Territory but has lived in another State, Territory, or Tribal land within the previous 5 years.)

- a. Does the State/Territory conduct interstate CAN registry checks for any staff member (or prospective staff member) that resided in other state(s) in the past 5 years of licensed, regulated, or registered child care providers, regardless of CCDF participation?
 - i. Yes.
 - ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct CAN registry checks. [Click or tap here to enter text.](#)
- b. Does the State/Territory conduct CAN registry checks for any staff member (or prospective staff member) who resided in other state(s) in the past 5 years eligible for CCDF participation (other than relative providers)?
 - i. Yes.

- ii. No. If no, describe any categories of licensed, regulated, or registered child care providers for whom you do not conduct CAN registry checks. [Click or tap here to enter text.](#)
- c. Does the State/Territory conduct the interstate criminal history background checks for all individuals age 18 or older who resided in other state(s) in the past 5 years who reside in a family child care home?
- i. Yes.
- ii. No. Describe individuals age 18 or older that resided in other state(s) in the past 5 years who reside in a family child care home that do not receive a CAN registry checks. [Click or tap here to enter text.](#)
- 5.7.9 The Lead Agency must prohibit employment of individuals with child care providers receiving CCDF subsidy payment if they meet any of the following disqualifying criteria:
- Refused to consent to a background check.
 - Knowingly made materially false statements in connection with the background check.
 - Are registered, or are required to be registered, on the State/Territory sex offender registry or repository or the National Sex Offender Registry.
 - Have been convicted of a felony consisting of murder, child abuse or neglect, crimes against children (including child pornography), spousal abuse, crimes involving rape or sexual assault, kidnapping, arson, physical assault, or battery.
 - Have a violent misdemeanor committed as an adult against a child, including the following crimes: child abuse, child endangerment, sexual assault, or any misdemeanor involving child pornography.
 - Convicted of a felony consisting of a drug-related offense committed during the preceding 5 years.
- a. Does the Lead Agency disqualify the employment of child care staff members (including prospective staff members) with child care providers receiving CCDF subsidy payment for CCDF-identified disqualifying criteria?
- i. Yes.
- ii. No. If no, describe the disqualifying criteria: [Click or tap here to enter text.](#)
- b. Does the Lead Agency use the same criteria for licensed, regulated, and registered child care providers regardless of CCDF participation?
- i. Yes.
- ii. No. If no, describe any disqualifying criteria used for licensed, regulated, and registered child care providers: [Click or tap here to enter text.](#)
- c. How does the Lead Agency use results from the in-state child abuse and neglect registry check?

- i. Does not use them to disqualify.
 - ii. Uses them to disqualify. Describe: [Click or tap here to enter text.](#)
- d. How does the Lead Agency use results from the interstate child abuse and neglect registry check?
- i. Does not use them to disqualify.
 - ii. Uses them to disqualify. Describe: [Click or tap here to enter text.](#)

5.7.10 Lead Agencies must notify child care providers of eligibility or ineligibility for child care employment based on the results of the comprehensive background check without revealing any documentation of criminal history or disqualifying crimes or other related information regarding the individual.

Does the Lead Agency certify they ensure the privacy of potential child care staff members when providing the results of the comprehensive background check?

- a. Yes.
- b. No. If no, describe the current process of notification: [Click or tap here to enter text.](#)

5.7.11 States/Territories must provide for a process that allows child care provider staff members (and prospective staff members) to appeal the results of a background check to challenge the accuracy or completeness of the information contained in the individual's background check report. Does the appeals process:

- a. Provide the affected individual with information related to each disqualifying crime in a report, along with information/notice on the opportunity to appeal.
 - i. Yes.
 - ii. No.
- b. Provide the affected individual with clear instructions about how to complete the appeals process for each background check component if they wish to challenge the accuracy or completeness of the information contained in such individual's background report.
 - i. Yes.
 - ii. No.
- c. Ensure the State/Territory attempts to verify the accuracy of the information challenged by the individual, including making an effort to locate any missing disposition information related to the disqualifying crime.
 - i. Yes.
 - ii. No.
- d. Get completed in a timely manner.
 - i. Yes.
 - ii. No.

- e. Ensure the affected individual receives written notice of the decision. In the case of a negative determination, the decision must indicate (1) the State's/Territory's efforts to verify the accuracy of information challenged by the individual, (2) any additional appeals rights available to the individual, and (3) information on how the individual can correct the federal or State records at issue in the case.
 - i. Yes.
 - ii. No.
- f. Facilitate coordination between the Lead Agency and other agencies 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.
 - i. Yes.
 - ii. No.

5.7.12 Lead Agencies must at least complete and receive a qualifying result for either the FBI criminal background check or a fingerprint-based in-state criminal background check where the individual resides before prospective staff members may provide services or be in the vicinity of children.

Until all the background check components have been completed, the prospective staff member must be supervised at all times by someone who has already received a qualifying result on a background check within the past five years.

- a. Check all background checks for which the Lead Agency requires a qualifying result before a prospective child care staff member begins work with children.
 - i. FBI criminal background check.
 - A. Yes.
 - B. No.
 - ii. In-state criminal background check with fingerprints.
 - A. Yes.
 - B. No.
 - iii. In-state sex offender registry.
 - A. Yes.
 - B. No.
 - iv. In-state child abuse and neglect registry.
 - A. Yes.
 - B. No.
 - v. Name-based national sex offender registry (NCIC NSOR).
 - A. Yes.

- B. No.
 - vi. Inter-state criminal background check, as applicable.
 - A. Yes.
 - B. No.
 - vii. Inter-state sex offender registry check, as applicable.
 - A. Yes.
 - B. No.
 - viii. Inter-state child abuse and neglect registry check, as applicable.
 - A. Yes.
 - B. No.
- b. Do you require provisional hires to be supervised by a staff member who has completed the comprehensive background check while awaiting results from the full comprehensive background check?
 - i. Yes.
 - ii. No. If no, describe the policy: *Click or tap here to enter text.*

5.7.13 A State/Territory must carry out a request from a child care provider for a criminal background check as expeditiously as possible, and no more than 45 days after the date the request was submitted.

- a. Does the Lead Agency ensure background checks are completed within 45 days (after the date of the request)?
 - i. Yes.
 - ii. No. If no, describe the timeline for completion for categories of providers, including which background check components take more than 45 days. *Click or tap here to enter text.*
- b. Does the Lead Agency ensure child care staff receive a comprehensive background check when they work in your state but reside in a different state?
 - i. Yes.
 - ii. No. If no, describe the current policy: *Click or tap here to enter text.*

5.7.14 Lead Agencies must respond as expeditiously as possible to requests for interstate background checks from other States/Territories/Tribes in order to meet the 45-day timeframe.

- a. Does your state participate in the Compact or National Fingerprint File programs?
 - i. Yes.
 - ii. No.

- b. Describe how the State/Territory responds to interstate criminal history check requests from another state. *Click or tap here to enter text.*
- c. Does your State/Territory have a law or policy that prevents a response to CCDF interstate background check requests from other States/Territories/Tribes? *Click or tap here to enter text.*
 - i. Yes. If yes, describe the current policy. *Click or tap here to enter text.*
 - ii. No. *Click or tap here to enter text.*

5.7.15 Lead Agencies must include on their consumer education website and the website of local Lead Agencies, if the CCDF program is county-run, the policies and procedures related to comprehensive background checks for child care providers. This includes the process by which a child care provider or other State or Territory may submit a background check request.

- a. Provide the direct URL/website link that contains instructions on how child care providers or other States and Territories should initiate background check requests for prospective and current child care staff members: *Click or tap here to enter text.*
- b. Check to certify that the required elements are included on the Lead Agency’s consumer and provider education website for each interstate background check component.
 - i. Interstate criminal background check:
 - A. Agency name
 - B. Address
 - C. Phone number
 - D. Email
 - E. FAX
 - F. Website
 - G. Instructions
 - H. Forms
 - I. Fees
 - J. Is the State a National Fingerprint File (NFF) State?
 - K. Is the State a National Crime Prevention and Privacy Compact State?
 - ii. Interstate sex offender registry (SOR) check:
 - A. Agency name
 - B. Address
 - C. Phone number
 - D. Email
 - E. FAX

- F. Website
 - G. Instructions
 - H. Forms
 - I. Fees
- iii. Interstate child abuse and neglect (CAN) registry check:
- A. Agency name
 - B. Is the CAN check conducted through a county administered registry or centralized registry?
 - C. Address
 - D. Phone number
 - E. Email
 - F. FAX
 - G. Website
 - H. Instructions
 - I. Forms
 - J. Fees

5.7.16 The State/Territory must ensure that fees charged for completing the background checks do not exceed the actual cost of processing and administration.

Does the Lead Agency certify that background check fees do not exceed the actual cost of processing and administering the background checks?

- a. Yes.
- b. No. If no, describe what is currently in place and what elements still need to be implemented. [Click or tap here to enter text.](#)

5.7.17 Does the State or Territory conduct the background check every 5 years for all components?

- a. Yes.
- b. No. If no, what is the frequency for renewing each component? [Click or tap here to enter text.](#)

5.8 Exemptions for Relative Providers

Lead Agencies may exempt relatives (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles) from certain health and safety requirements. This exception applies only if the individual cares only for relative children.

- 5.8.1 Does the State/Territory exempt any federally defined relative providers from the CCDF health and safety standards, preservice/orientation training, ongoing training, monitoring, and/or background checks?
- a. No.
 - b. Yes. If yes, which type of relatives do you exempt, and what requirements do you exempt them from? *Click or tap here to enter text.*

6 Support for a Skilled, Qualified, and Compensated Child Care Workforce

A skilled child care workforce with adequate compensation and benefits underpins a quality child care system that is accessible and reliable for working parents and that meets their needs. Positive interactions between children and caregivers provide the cornerstone of quality child care experiences. Responsive caregiving and rich interactions support healthy socio-emotional, cognitive, and physical development in children. Strategies that successfully support the child care workforce address key challenges, including low wages, poor benefits, and difficult job conditions. Lead Agencies can help mitigate some of these challenges through various CCDF policies that ensure ongoing professional development and supports are accessible for all providers as well as payment policies and practices covered in Section 4. States and Territories must have a framework for training, professional development, and post-secondary education. They must also incorporate health and safety training into their professional development. Lead Agencies should also implement policies that focus on improving compensation and access to benefits for the child care workforce. When implemented as a cohesive approach, the initiatives support the recruitment and retention of a qualified and effective child care workforce, and improve opportunities for caregivers, teachers, and directors to advance on their progression of training, professional development, and postsecondary education.

This section addresses State and Territory efforts to support the child care workforce, the components and implementation of the professional development framework, and early learning and development guidelines.

6.1 Supporting the Child Care Workforce

- 6.1.1 Identify the Lead Agency activities related to strengthening workforce recruitment and retention of child care providers. Check all that apply:
- a. Providing program-level grants to support investments in staff compensation.
 - b. Providing bonuses or stipends paid directly to staff, like sign-on or retention bonuses.
 - c. Connecting family child care providers and center-based child care staff to health insurance or supporting premiums in the Marketplace.
 - d. Subsidizing family child care provider and center-based child care staff retirement benefits.
 - e. Providing paid sick, personal, and parental leave for family child care providers and center-based child care staff.

- f. Providing student loan debt relief or loan repayment for family child care providers and center-based child care staff.
 - g. Providing scholarships or tuition support for center-based child care staff and family child care providers.
 - h. Other. Describe: [Click or tap here to enter text.](#)
- 6.1.2 Describe the Lead Agency’s ongoing efforts and future plans to assess and improve the compensation of the child care workforce in the State or Territory, including increasing wages, bonuses, and stipends. [Click or tap here to enter text.](#)
- 6.1.3 Describe the Lead Agency’s ongoing efforts and future plans to expand access to benefits, including health insurance, paid sick, personal, and parental leave, and retirement benefits. [Click or tap here to enter text.](#)
- 6.1.4 Describe the Lead Agency’s ongoing efforts and future plans to support the mental health and well-being of the child care workforce. [Click or tap here to enter text.](#)
- 6.1.5 Describe any other strategies the Lead Agency is developing and/or implementing to support providers’ recruitment and retention of the child care workforce. [Click or tap here to enter text.](#)
- 6.1.6 Describe other strategies that the Lead Agency is developing and implementing for strengthening child care providers’ business management and administrative practices. [Click or tap here to enter text.](#)
- 6.1.7 Check the topics addressed in the Lead Agency’s strategies for strengthening child care providers’ administrative business practices. Check all that apply:
- a. Fiscal management
 - b. Budgeting
 - c. Recordkeeping
 - d. Hiring, developing, and retaining qualified staff
 - e. Risk management
 - f. Community relationships
 - g. Marketing and public relations
 - h. Parent-provider communications
 - i. Use of technology in business administration
 - j. Compliance with employment and labor laws
 - k. Other. Describe any other efforts to strengthen providers’ administrative business: [Click or tap here to enter text.](#)

6.1.8 Lead Agencies must facilitate participation of child care providers and staff with limited English proficiency and disabilities in the subsidy system. Describe how the State/Territory will facilitate this participation, including engagement with providers to identify barriers and specific strategies used to support their participation:

- a. Providers and staff with limited English proficiency: [Click or tap here to enter text.](#)
- b. Providers and staff who have disabilities: [Click or tap here to enter text.](#)

6.2 Professional Development Framework

A Lead Agency must have a professional development framework for training, professional development, and post-secondary education for caregivers, teachers, and directors in programs that serve children of all ages. The framework must include these components:

(1) professional standards and competencies, (2) career pathways, (3) advisory structures, (4) articulation, (5) workforce information, and (6) financing. CCDF provides flexibility on the strategies, breadth, and depth with which Lead Agencies will develop and implement their framework. The professional development framework must be developed in consultation with the State Advisory Council on Early Childhood Education and Care or a similar coordinating body.

6.2.1

- a. Did the Lead Agency make any updates to the professional development framework since the FFY 2022-2024 CCDF Plan was submitted?
 - i. No.
 - ii. Yes. If yes, describe the elements of the framework that were updated and describe if and how the State Advisory Council on Early Childhood Education and Care (if applicable) or similar coordinating body was consulted: [Click or tap here to enter text.](#)
- b. Did the Lead Agency consult with other key groups in the development of their professional development framework?
 - i. No.
 - ii. Yes. If yes, identify the other key groups: [Click or tap here to enter text.](#)

6.2.2 Describe how the Lead Agency’s framework for training and professional development addresses the following required elements:

- a. Professional standards and competencies. For example, Lead Agencies can include information about which roles in early childhood education are included (such as teachers, directors, infant and toddler specialists, mental health consultants, coaches, licensors, QIS assessors, family service workers, home visitors). [Click or tap here to enter text.](#)
- b. Career pathways. For example, Lead Agencies can include information about professional development registries, career ladders, and levels. [Click or tap here to enter text.](#)
- c. Advisory structure. For example, Lead Agencies can include information about how the professional development advisory structure interacts with the State Advisory Council on Early Childhood Education and Care. [Click or tap here to enter text.](#)

- d. Articulation. For example, Lead Agencies can include information about articulation agreements, and collaborative agreements that support progress in degree acquisition. [Click or tap here to enter text.](#)
- e. Workforce information. For example, Lead Agencies can include information about workforce demographics, educator well-being, retention/turnover surveys, actual wage scales, and/or access to benefits. [Click or tap here to enter text.](#)
- f. Financing. For example, Lead Agencies can include information about strategies including scholarships, apprenticeships, wage enhancements, etc. [Click or tap here to enter text.](#)

6.2.3 Does the State/Territory use additional elements?

- a. No. If no, skip to question 6.2.4.
- b. Yes. If yes, describe the element(s). (Check all that apply)
 - i. Continuing education unit trainings and credit-bearing professional development? 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.](#)

6.2.4 Describe how the framework improves the quality, diversity, stability, and retention of caregivers, teachers, and directors and identify what data are available to assess the impact.

- a. Professional standards and competencies. For example, do the professional standards and competencies reflect the diversity of providers across role, child care setting, or age of children served? [Click or tap here to enter text.](#)
- b. Career pathways. For example, has the Lead Agency developed a wage ladder that provides progressively higher wages as early educators gain more experience and credentials? What types of child care settings and staff roles are addressed in career pathways, such as licensed centers and family child care homes? [Click or tap here to enter text.](#)
- c. Advisory structure. For example, has the advisory structure identified goals for child care workforce compensation, including types of staff and target compensation levels? Does your Lead Agency have a Preschool Development Birth-to-Five grant and is part of its scope of work child care compensation activities? Are they represented in the advisory structure? [Click or tap here to enter text.](#)
- d. Articulation. For example, how does the advisory structure include training and professional development providers, including higher education, to assist in aligning training and education opportunities? [Click or tap here to enter text.](#)

- e. Workforce information. For example, does the Lead Agency have data on the existing wages and benefits available to the child care workforce? Do any partners such as the quality improvement system, child care resource and referral agencies, Bureau of Labor Statistics and universities and research organizations collect compensation and benefits data? Does the Lead Agency monitor child care workforce wages and access to benefits through ongoing data collection and evaluation? Can the data identify any disparities in the existing compensation and benefits (by geography, role, child care setting, race, ethnicity, gender or age of children served)? *Click or tap here to enter text.*
- f. Financing. For example, has the Lead Agency set a minimum or living wage as a floor for all child care staff? Do Lead Agency-provider subsidy agreements contain requirements for staff compensation levels? Do Lead Agencies provide program-level compensation grants to support staff base salaries and benefits? Does the Lead Agency administer bonuses or stipends directly to workers? *Click or tap here to enter text.*

6.3 Early Learning and Developmental Guidelines

States and Territories must develop, maintain, or implement early learning and developmental guidelines appropriate for children from birth to kindergarten entry. Early learning and developmental guidelines should describe what children should know and be able to do at different ages and cover the essential domains of early childhood development, which at a minimum includes cognition, including language arts and mathematics; social, emotional, and physical development; and approaches toward learning.

6.3.1

- a. Check the boxes below to certify the State’s/Territory’s early learning and developmental guidelines are:
 - i. Research-based.
 - ii. Developmentally appropriate.
 - iii. Culturally and linguistically appropriate.
 - iv. Aligned with kindergarten entry.
 - v. Appropriate for all children from birth to kindergarten entry.
 - vi. Implemented in consultation with the educational agency and the State Advisory Council on Early Childhood Education and Care or similar coordinating body.
- b. Check the boxes below to certify that the required domains are included in the State’s/Territory’s early learning and developmental guidelines.
 - i. Cognition, including language arts and mathematics.
 - ii. Social development.
 - iii. Emotional development.
 - iv. Physical development.

- v. Approaches toward learning.
- vi. Other optional domains, if any: [Click or tap here to enter text.](#)
- c. When were the State/Territory’s early learning and developmental guidelines most recently updated and for what reason? [Click or tap here to enter text.](#)
- d. Do your State’s/Territory’s learning guidelines include guidelines for school-aged children?
 - i. No.
 - ii. Yes. If yes, how? [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.](#)

6.3.2

- a. Describe how the State/Territory uses its early learning and developmental guidelines. [Click or tap here to enter text.](#)
- b. Check the boxes below to certify that CCDF funds are not used to develop or implement an assessment for children that:
 - i. Will be the primary or sole basis to determine a child care provider ineligible to participate in the CCDF.
 - ii. Will be used as the primary or sole basis to provide a reward or sanction for an individual provider.
 - iii. Will be used as the primary or sole method for assessing program effectiveness.
 - iv. Will be used to deny children eligibility to participate in CCDF.

7 Quality Improvement Activities

The quality of child care directly affects children’s safety and healthy development while in care settings, and high-quality child care can be foundational across the lifespan. Therefore, States and Territories may use CCDF for quality improvement activities for all children in care, not just those receiving child care subsidies. OCC will collect the most detailed State/Territory information about quality improvement activities in annual reports instead of this Plan.

States and Territories must report on CCDF child care quality improvement investments in three ways:

1. In this Plan, States and Territories will describe the types of activities supported by quality investments over the 3-year period.
2. An annual expenditure report (the ACF-696). States and Territories will provide 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.
3. An annual Quality Progress Report (the ACF-218). States and Territories will

provide a description of activities funded by quality expenditures, the measures used to evaluate its progress in improving the quality of child care programs and services within the State/Territory, and progress or barriers encountered on those measures.

7.1 Quality Activities Needs Assessment

In this section of the Plan, Lead Agencies will describe their quality activities needs assessment and identify the types of quality improvement activities where CCDF investments are being made using quality set-aside funds.

- 7.1.1 Briefly describe your Lead Agency needs assessment process for expending CCDF funds on activities to improve the quality of child care, including the frequency of assessment, how different providers were consulted, and how their views are incorporated: [Click or tap here to enter text.](#)
- 7.1.2 Describe the findings of the assessment, including any findings related to needs of different populations and types of providers, and if any overarching goals for quality improvement were identified: [Click or tap here to enter text.](#)

7.2 Use of Quality Set-Aside Funds

Lead Agencies must use a portion of their Child Care and Development Fund (CCDF) 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. They must use the quality set-aside funds on at least one of 10 activities described in CCDF and the quality activities must be aligned with a Statewide or Territory-wide assessment of the State's or Territory's need to carry out such services and care.

- 7.2.1 Describe how the Lead Agency will make its Quality Progress Report (ACF – 218) and expenditure reports, available to the public. Provide a link if available. [Click or tap here to enter text.](#)
- 7.2.2 Identify State/Territory plans, if any, to spend CCDF funds for each of the following quality improvement activities. If an activity is checked “yes”, describe the Lead Agency’s current and/or future plans for this activity.
 - a. Supporting the training and professional development of the child care workforce, including birth to five and school-age providers.
 - i. Yes. Briefly describe current and future investments. [Click or tap here to enter text.](#)
 - ii. No plans to spend in this category of activities at this time.
 - b. Developing, maintaining, or implementing early learning and developmental guidelines.
 - i. Yes. Briefly describe current and future investments. [Click or tap here to enter text.](#)
 - ii. No plans to spend in this category of activities at this time.

- c. Developing, implementing, or enhancing a quality improvement system.
 - i. Yes. Briefly describe current and future investments. [Click or tap here to enter text.](#)
 - ii. No plans to spend in this category of activities at this time.
- d. Improving the supply and quality of child care services for infants and toddlers.
 - i. Yes. Briefly describe current and future investments. [Click or tap here to enter text.](#)
 - ii. No plans to spend in this category of activities at this time.
- e. Establishing or expanding a statewide system of CCR&R services, as discussed in 8.3.
 - i. Yes. Briefly describe current and future investments. [Click or tap here to enter text.](#)
 - ii. No plans to spend in this category of activities at this time.
- f. Facilitating compliance with State child care licensing, monitoring, inspection and health and safety standards.
 - i. Yes. Briefly describe current and future investments. [Click or tap here to enter text.](#)
 - ii. No plans to spend in this category of activities at this time.
- g. Evaluating and assessing the quality and effectiveness of child care services within the State/Territory.
 - i. Yes. Briefly describe current and future investments. [Click or tap here to enter text.](#)
 - ii. No plans to spend in this category of activities at this time.
- h. Accreditation support.
 - i. Yes. Briefly describe current and future investments. [Click or tap here to enter text.](#)
 - ii. No plans to spend in this category of activities at this time.
- 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. Yes. Briefly describe current and future investments. [Click or tap here to enter text.](#)
 - ii. No plans to spend in this category of activities at this time.
- j. Other activities determined by the State/Territory to improve the quality of child care services and the measurement of outcomes related to improved provider preparedness, child safety, child well-being, or kindergarten entry.

- i. Yes. Briefly describe current and future investments. *Click or tap here to enter text.*
- ii. No plans to spend in this category of activities at this time.

8 Lead Agency Coordination and Partnerships to Support Service Delivery

Coordination and partnerships help ensure that the Lead Agency’s efforts accomplish CCDF goals effectively, leverage other resources, and avoid duplication of effort. Such coordination and partnerships can help families better access child care, can assist in providing consumer education to parents, and can be used to improve child care quality and the stability of child care providers. Such coordination can also be particularly helpful in the aftermath of disasters when the provision of emergency child care services and the rebuilding and restoring of child care infrastructure are an essential part of ensuring the well-being of children and families in recovering communities.

This section identifies who the Lead Agency collaborates with to implement services, how match and maintenance-of-effort (MOE) funds are used, coordination with child care resource and referral (CCR&R) systems, and efforts for disaster preparedness and response plans to support continuity of operations in response to emergencies.

8.1 Coordination with Partners to Expand Accessibility and Continuity of Care

Lead Agencies must coordinate child care services supported by CCDF with other federal, State/Territory, and local level programs. This includes programs for the benefit of Indian children, infants and toddlers, children with disabilities, children experiencing homelessness, and children in foster care.

8.1.1 Describe how the Lead Agency coordinates and the results of this coordination of the provision of child care services with the organizations and agencies required by CCDBG 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.

- a. The Lead Agency must coordinate with the following agencies:
 - i. 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 and results of the coordination: *Click or tap here to enter text.*
 - ii. Indian Tribe(s) and/or Tribal organization(s), at the option of individual Tribes. Describe the coordination and results of the coordination, including which Tribe(s) was (were) involved: *Click or tap here to enter text.*
 - A. N/A. Check here if there are no Indian Tribes and/or Tribal organizations in the State/Territory.
 - iii. State/Territory agency(ies) responsible for programs for children with special needs, including early intervention programs authorized under the Individuals with Disabilities Education Act. Describe the coordination and results of the coordination: *Click or tap here to enter text.*

- iv. State/Territory office/director for Head Start State collaboration. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - v. State/Territory agency responsible for public health, including the agency responsible for immunizations. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - vi. State/Territory agency responsible for employment services/workforce development. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - vii. State/Territory agency responsible for public education, including pre-Kindergarten. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - viii. State/Territory agency responsible for child care licensing. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - ix. State/Territory agency responsible for the Child and Adult Care Food Program (CACFP) and other relevant nutrition programs. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - x. 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 and results of the coordination: [Click or tap here to enter text.](#)
 - xi. State/Territory agency responsible for the Temporary Assistance for Needy Families (TANF) program. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - xii. State/Territory agency responsible for Medicaid and the State Children’s Health Insurance Program. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - xiii. State/Territory agency responsible for mental health. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - xiv. Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - xv. Statewide afterschool network or other coordinating entity for out-of-school time care (if applicable). Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
 - xvi. Agency responsible for emergency management and response. Describe the coordination and results of the coordination: [Click or tap here to enter text.](#)
- b. The following are examples of optional partners a State/Territory might coordinate with to provide services. Check which optional partners the Lead Agency coordinates with and describe the coordination and results of the coordination.

- 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. Title IV B 21st Century Community Learning Center Coordinators. Describe: [Click or tap here to enter text.](#)
- x. Other. Describe: [Click or tap here to enter text.](#)

8.2 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 8.1.1. These programs include those operating at the federal, State, and local levels for children in preschool programs, Tribal child care programs, and other early childhood programs, including those serving infants and toddlers with disabilities, children experiencing homelessness, and children in foster care.

Combining funds may 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 pre-Kindergarten requirements in addition to State/Territory child care licensing requirements.

As a reminder, CCDF funds may be used in collaborative efforts with Head Start and Early 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.

8.2.1 Does the Lead Agency combine funding for CCDF services with Title XX (Social Services Block Grant, SSBG), Title IV B 21st Century Community Learning Center Funds, State-only child care funds, TANF direct funds for child care not transferred into CCDF, Title IV-B, IV-E funds, or other federal or state programs?

- a. No. (If no, skip to question 8.2.2)
- b. Yes. If yes, describe:
 - i. Which funds will you combine? Combined funds may include, but are not limited to:
 - A. Title XX (Social Services Block Grant, SSBG)
 - B. Title IV B 21st Century Community Learning Center Funds
 - C. State-only child care funds
 - D. TANF direct funds for child care not transferred into CCDF
 - E. Title IV-B funds
 - F. Title IV-E funds
 - G. Other. Describe: [Click or tap here to enter text.](#)
 - ii. What do you use combined funds to support, 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? [Click or tap here to enter text.](#)

8.2.2 Which of the following funds does the Lead Agency intend to use to meet the CCDF matching and MOE requirements? Check all that apply.

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 must identify and designate in the State/Territory Plan the donated funds given to public or private entities to implement the CCDF child care program.

- a. Do you use public funds to meet match requirements?
 - i. Yes. If yes, describe which funds are used: [Click or tap here to enter text.](#)
 - ii. No.
- b. Do you use donated funds to meet match requirements?
 - i. Yes. If yes, identify the entity(ies) designated to receive donated funds:
 - A. Donated directly to the state.
 - B. Donated to a separate entity(ies) designated to receive donated funds. If checked, identify the name, address, contact, and type of entities designated to receive private donated funds: [Click or tap here to enter text.](#)

ii. No.

8.2.3 Does the Lead Agency certify that, if state expenditures for pre-Kindergarten programs are used to meet the MOE requirements, the following is true:

- The Lead Agency did not reduce its level of effort in full-day/full-year child care services.
- The Lead Agency ensures that pre-Kindergarten programs meet the needs of working parents.
- The estimated percentage of the MOE Fund requirement that will be met with pre-Kindergarten expenditures (does not to exceed 20 percent).
- If the percentage is more than 10 percent of the MOE requirement, the State will coordinate its pre-Kindergarten and child care services to expand the availability of child care.

Note: Lead Agencies that use pre-Kindergarten funds to meet matching requirements must check pre-Kindergarten funds and public and/or private funds. Use of pre-Kindergarten for maintenance-of-effort funds: Public pre-Kindergarten funds may also serve as maintenance-of-effort funds as long as the State/Territory can describe how it will coordinate pre-Kindergarten and child care services to expand the availability of child care while using public pre-Kindergarten 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). If expenditures for pre-Kindergarten services are used to meet the maintenance-of-effort requirement, does the State/Territory certify that it has not reduced its level of effort in full-day/full-year child care services.

a. Yes.

b. No. If no, describe (optional): [Click or tap here to enter text.](#)

8.3 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).

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.

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.

8.3.1 Does the Lead Agency fund a system or network of local or regional CCR&R organization(s)?

- a. No. The State/Territory does not fund a system or network of local or regional CCR&R organization(s) and has no plans to establish one.
- b. No, but the Lead Agency has plans to develop a system or network of local or regional CCR&R organization(s).
- c. Yes. The State/Territory funds a system or network of local or regional CCR&R organization(s) with all the responsibilities outlined above. If yes, describe the activities outlined above carried out by the CCR&R organizations, as directed by the Lead Agency:
[Click or tap here to enter text.](#)

8.4 Public-Private Partnerships

Lead Agencies must demonstrate how they encourage 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) 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.

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

8.5 Disaster Preparedness and Response Plan

Lead Agencies must establish a Statewide Child Care Disaster Plan and 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.

- 8.5.1 When was the State's/Territory's Child Care Disaster Plan most recently updated and for what reason? [Click or tap here to enter text.](#)
- 8.5.2 Please certify compliance with CCDF by checking the required elements the State/Territory includes 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.
- 8.5.3 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.](#)

9 Family Outreach and Consumer Education

Consumer education requirements in CCDF are an integral part of facilitating parental choice in child care arrangements, supporting parents as child care consumers who need information to make informed choices regarding the services that best suit their family’s needs, and the delivery of resources that can support child development and wellbeing. This is foundational to a transparent system that helps parents to better understand their child care options and encourages providers to improve the quality of their services. State/Territory consumer education activities must provide information for parents receiving CCDF assistance, the general public, and, when appropriate, child care providers. Lead Agencies should use targeted strategies for each group to ensure tailored consumer education information and take steps to ensure they are effectively reaching all individuals, including those with limited English proficiency and those with disabilities.

In this section, Lead Agencies address their consumer education practices, including details about their child care consumer education website, and the process for collecting and maintaining a record of parental complaints.

9.1 Parental Complaint Process

The Lead Agency must maintain a record of substantiated parental complaints against child care providers and make information regarding such complaints available to the public on request. 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.

- 9.1.1 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.*
- 9.1.2 Describe how the parental complaint process ensures broad access to services for families that speak languages other than English: *Click or tap here to enter text.*
- 9.1.3 Describe how the parental complaint process ensures broad access to services for persons with disabilities: *Click or tap here to enter text.*
- 9.1.4 For complaints about providers, including CCDF providers and non-CCDF providers, does the Lead Agency have a process and timeline for screening, substantiating, and responding to complaints, including information about whether the process includes monitoring?
 - a. Yes. If yes, briefly describe: *Click or tap here to enter text.*
 - b. No.
- 9.1.5 For substantiated parental complaints, who maintains the record for CCDF and non-CCDF providers? *Click or tap here to enter text.*

- 9.1.6 Describe how information about substantiated parental complaints is made available to the public; this information can include the consumer education website discussed in subsection 9.2: [Click or tap here to enter text.](#)

9.2 Consumer Education Website

States/Territories must provide information to parents, the general public, and child care providers through a State website, which is consumer-friendly and easily accessible for families who speak languages other than English and persons with disabilities. The website must:

- Include information to assist families in understanding the Lead Agency’s policies and procedures, including licensing child care providers;
- Include monitoring and inspection reports for each provider and the quality of each provider (if such information is available for the provider);
- Provide the aggregate number of deaths, serious injuries, and the number of cases of substantiated child abuse that have occurred in child care settings;
- Include contact information for local child care resource and referral (CCR&R) organizations to help families access additional information on finding child care; and
- Include information on how parents can contact the Lead Agency and other organizations to better understand the information on the website.

- 9.2.1 Does the Lead Agency ensure that its consumer education website is consumer-friendly and easily accessible?

- a. Does the Lead Agency certify that the consumer education website ensures broad access to services for families who speak languages other than English?
- i. Yes.
 - ii. No. If no, describe (optional): [Click or tap here to enter text.](#)
- b. Does the Lead Agency certify that the consumer education website ensures broad access to services for persons with disabilities?
- i. Yes.
 - ii. No. If no, describe (optional): [Click or tap here to enter text.](#)

- 9.2.2 The consumer education website is a description of Lead Agency policies and procedures relating to child care licensing, monitoring, inspections, and background check procedures.

- a. Provide the direct URL/website link to how the Lead Agency licenses child care providers: [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: [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: [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: [Click or tap here to enter text.](#)

9.2.3 The consumer education website must include a list of all licensed providers searchable by ZIP code.

- a. Does the Lead Agency certify that their consumer education website includes a list of all licensed providers searchable by ZIP code?

- i. Yes.
- ii. No. If no, describe (optional): [Click or tap here to enter text.](#)

- b. Provide the direct URL/website link to the list of child care providers searchable by ZIP code: [Click or tap here to enter text.](#)

- c. In addition to the licensed child care providers that must be included in your searchable list, are there additional providers included in the Lead Agency’s searchable list of child care providers? 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 (e.g., summer camps, public pre-Kindergarten). Describe: [Click or tap here to enter text.](#)

- d. Identify what additional information, if any, besides the required name and location of the child care provider, is available in the searchable results by ZIP code. 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
i. Contact information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ii. Enrollment capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iii. Hours, days, and months of operation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iv. Provider education and training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
v. Languages spoken by the caregiver	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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
vi. Quality information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
vii. Monitoring reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
viii. Willingness to accept CCDF certificates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ix. Ages of children served	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
x. Specialization or training for certain populations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
xi. Care provided during nontraditional hours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- e. Identify any other information searchable on the consumer education website for the child care provider type listed below and then, if checked, describe the searchable information included on the website.
- i. All licensed providers. Describe: [Click or tap here to enter text.](#)
 - ii. License-exempt CCDF center-based providers. Describe: [Click or tap here to enter text.](#)
 - iii. License-exempt CCDF family child care providers. Describe: [Click or tap here to enter text.](#)
 - iv. License-exempt, non-CCDF providers. Describe: [Click or tap here to enter text.](#)
 - v. Relative CCDF providers. Describe: [Click or tap here to enter text.](#)
 - vi. Other. Describe: [Click or tap here to enter text.](#)

9.2.4 Lead Agencies must identify specific quality information on each child care provider for whom they have this information. Provider-specific quality information must only be posted on the consumer education website if it is available for the individual child care provider.

- a. What specific quality information does the Lead Agency provide on the website?
- i. Quality improvement system (QIS)
 - ii. National accreditation
 - iii. Enhanced licensing system
 - iv. Meeting Head Start/Early Head Start Program Performance Standards
 - v. Meeting pre-Kindergarten quality requirements

- vi. School-age standards
 - vii. Quality framework or quality improvement system
 - viii. Other. Describe: *Click or tap here to enter text.*
- b. For what types of child care providers is quality information 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.*
 - vi. Relative child care providers. Describe the quality information: *Click or tap here to enter text.*
 - vii. Other. Describe: *Click or tap here to enter text.*

9.2.5 Lead Agencies must post aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year on the consumer education website. This 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 child care providers in the State/Territory. The information on instances of substantiated child abuse does not have to be organized by category of care or licensing status. Information must also include the total number of children regulated to be cared for by provider type and licensing status, so that families can better understand the data presented on serious injuries, deaths, and substantiated cases of abuse. The aggregate data must not include individual provider-specific information or names.

- a. 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

- v. If any of the above elements are not included, please explain: [Click or tap here to enter text.](#)
- b. 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 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.](#)
- c. Provide the direct URL/website link to the page where the aggregate number of serious injuries, deaths, and substantiated child abuse, and the total number of children in care by provider category/licensing status are posted: [Click or tap here to enter text.](#)

9.2.6 The Lead Agency consumer education website must include contact information on referrals to local child care resource and referral (CCR&R) organizations.

- a. Does the consumer education website include contact information on referrals to local child care resource and referral organizations?
 - i. Yes.
 - ii. No.
- b. Provide the direct URL/website link to this information:

9.2.7 The Lead Agency consumer and provider education website must include information on how parents can contact the Lead Agency or its designee and other programs that can help the parent understand information included on the website.

- a. Does the website provide directions on how parents can contact the Lead Agency or its designee and other programs to help them understand information included on the website?
 - i. Yes.
 - ii. No.
- b. Provide the direct URL/website link to this information: [Click or tap here to enter text.](#)

9.3 Increasing Engagement and Access to Information

Lead Agencies must collect and disseminate information about the full range of child care services to promote parental choice to parents of children eligible for CCDF, the general public, and child care providers.

- 9.3.1 Briefly describe how the Lead Agency shares information with eligible parents, the general public, and child care providers about the availability of child care services provided through CCDF and other programs for which the family may be eligible. The description should include, at a minimum, what is provided (e.g., written materials, the website, and direct communications) and what approaches are used to tailor information to parents, the general public, and child care providers. [Click or tap here to enter text.](#)
- 9.3.2 Lead Agencies must provide parents receiving CCDF services with a consumer statement in hard copy or electronically that contains general information about the CCDF program and specific information about the child care provider they select.

Please certify if the Lead Agency provides parents receiving CCDF services a consumer statement that contains the following 8 requirements:

1. Health and safety requirements met by the provider
2. Licensing or regulatory requirements met by the provider
3. Date the provider was last inspected
4. Any history of violations of these requirements
5. Any voluntary quality standards met by the provider
6. How CCDF subsidies are designed to promote equal access
7. How to submit a complaint through the hotline
8. 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

Does the Lead Agency provide to families, either in hard copy or electronically, a consumer statement that contains the required information about the provider they have selected, including the eight required elements above?

- a. Yes.
- b. No. If no, describe (optional): [Click or tap here to enter text.](#)

9.3.3 Does the Lead Agency certify that it provides information described in 9.3.1 for the following required programs?

- Temporary Assistance for Needy Families (TANF) program.
- Head Start and Early Head Start programs.
- Low Income Home Energy Assistance Program (LIHEAP).
- Supplemental Nutrition Assistance Program (SNAP).
- Women, Infants, and Children Program (WIC) program.
- Child and Adult Care Food Program (CACFP).
- Medicaid and Children’s Health Insurance Program (CHIP).
- Programs carried out under IDEA Part B, Section 619 and Part C.

- a. Yes.
- b. No. If no, describe (optional): [Click or tap here to enter text.](#)
- 9.3.4 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, and information about successful parent and family engagement. At a minimum, the description should include what information is provided; how the information is provided; any distinct activities for sharing this information with parents, providers, the general public; and any partners in providing this information. [Click or tap here to enter text.](#)
- 9.3.5 Does the Lead Agency have procedures to ensure that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds:
- a. Yes.
- b. No. If no, describe (optional): [Click or tap here to enter text.](#)
- 9.3.6 Briefly describe how the Lead Agency shares information with families, providers, and the general public regarding the social-emotional and behavioral 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: [Click or tap here to enter text.](#)
- 9.3.7 The Lead Agency must have 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, including how those policies are shared with families, providers, and the general public. Briefly describe those policies: [Click or tap here to enter text.](#)
- 9.3.8 Describe what policies, if any, the Lead Agency has to prevent the suspension and expulsion of school-age children from child or youth care settings receiving CCDF funds: [Click or tap here to enter text.](#)

9.4 Providing Information on Developmental Screenings

Lead Agencies must provide information on developmental screenings to parents as part of the intake process for families participating in CCDF and to child care providers through training and education. This information must include:

- Existing resources and services that the State can make available in conducting developmental screenings and providing referrals to services when appropriate for children who receive child care assistance, including the coordinated use of 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; and,
- 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.

Information on developmental screenings, as in other consumer education information, must be accessible for individuals with limited English proficiency and individuals with disabilities.

9.4.1 Does the Lead Agency collect and disseminate information on the following:

- a. Existing resources and services available for obtaining developmental screening for CCDF parents, the general public, and child care providers.
 - i. Yes.
 - ii. No. If no, describe (optional): *Click or tap here to enter text.*
- b. 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.).
 - i. Yes.
 - ii. No. If no, describe (optional): *Click or tap here to enter text.*
- c. Developmental screenings to parents receiving a subsidy as part of the intake process.
 - i. Yes. If yes, include the information provided, ways it is provided, and any partners in this work: *Click or tap here to enter text.*
 - ii. No. If no, describe (optional): *Click or tap here to enter text.*
- d. How families receiving CCDF services or child care providers receiving CCDF can use the available resources and services to obtain developmental screenings for children at risk for cognitive or other developmental delays.
 - i. Yes.
 - ii. No. If no, describe (optional): *Click or tap here to enter text.*

10 Program Integrity and Accountability

Program integrity and accountability activities are integral to the effective administration of the CCDF program. As stewards of federal funds, Lead Agencies must ensure strong and effective internal controls to prevent fraud and maintain continuity of services to meet the needs of children and families. In order to operate and maintain a strong CCDF program, regular evaluation of the program’s internal controls as well as comprehensive training for all entities involved in the administration of the program are imperative. In this section, Lead Agencies will describe their internal controls and how those internal controls effectively ensure integrity and accountability. These accountability measures should address reducing fraud, waste, and abuse, including program violations and administrative errors and apply to all CCDF funds.

10.1 Effective Internal Controls

- 10.1.1 Describe how the Lead Agency’s organizational structure ensures the oversight and implementation of effective internal controls that promote and support program integrity and accountability, including:

- a. Assignment of authority and responsibilities. Describe: [Click or tap here to enter text.](#)
- b. Delegation of duties. Describe: [Click or tap here to enter text.](#)
- c. Coordination of activities. Describe: [Click or tap here to enter text.](#)
- d. Communication between fiscal and program staff. Describe: [Click or tap here to enter text.](#)
- e. Segregation of duties. Describe: [Click or tap here to enter text.](#)
- f. Establishment of checks and balances to identify potential fraud risks. Describe: [Click or tap here to enter text.](#)
- g. Other. Describe: [Click or tap here to enter text.](#)

10.1.2 Lead Agencies must ensure the integrity of the use of funds through effective fiscal management and must ensure that financial practices are in place. Describe the processes in place for the Lead Agency to ensure effective fiscal management practices for all CCDF expenditures, including:

- a. Fiscal oversight of CCDF funds, including grants and contracts. Describe: [Click or tap here to enter text.](#)
- b. How your Lead Agency tracking systems ensure reasonable and allowable costs and allow for tracing of funds to a level of expenditure adequate to establish that such funds have not been used in violation of the provision of this part. Describe: [Click or tap here to enter text.](#)
- c. Other. Describe: [Click or tap here to enter text.](#)

10.1.3 Lead Agencies must have effective fiscal management practices in place for all CCDF expenditures. Describe how the Lead Agency knows there are effective fiscal management practices in place for all CCDF expenditures, including:

- a. How the Lead Agency defines effective fiscal management practices. Describe: [Click or tap here to enter text.](#)
- b. How the Lead Agency measures and tracks results of their fiscal management practices. Describe: [Click or tap here to enter text.](#)
- c. How the results inform implementation. Describe: [Click or tap here to enter text.](#)
- d. Other. Describe: [Click or tap here to enter text.](#)

10.1.4 Describe the processes the Lead Agency uses to identify risk in the CCDF program.

- a. How the Lead Agency assesses risk (For example, what risk factors are reviewed? What framework is used?) Describe: [Click or tap here to enter text.](#)
- b. Who conducts the risk assessment (roles)? Describe: [Click or tap here to enter text.](#)
- c. What is the frequency of the risk assessment? Describe: [Click or tap here to enter text.](#)
- d. How the Lead Agency uses risk assessment results to inform program improvement. Describe: [Click or tap here to enter text.](#)
- e. How the Lead Agency knows that the risk assessment processes utilized are effective. Describe: [Click or tap here to enter text.](#)

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

10.1.5 Lead Agencies must describe effective internal controls in place to ensure program integrity and accountability for all CCDF expenditures, including processes to train staff of the Lead Agency and other agencies engaged in the administration of CCDF, and child care providers about program requirements and integrity.

a. 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:

i. What training does the Lead Agency provide to ensure staff members understand the CCDF program expectations around program integrity? Describe: [Click or tap here to enter text.](#)

ii. How does the Lead Agency ensure the staff member training is effective? Describe: [Click or tap here to enter text.](#)

iii. How is risk assessment information used to evaluate and change practice or address training needs? Describe: [Click or tap here to enter text.](#)

b. Describe how the Lead Agency ensures all providers for children receiving CCDF funds are informed and trained regarding CCDF program requirements and program integrity.

i. What training does the Lead Agency provide to ensure child care providers understand the CCDF program expectations around program integrity? Describe: [Click or tap here to enter text.](#)

ii. How does the Lead Agency ensure the provider training is effective? Describe: [Click or tap here to enter text.](#)

iii. How is risk assessment information used to evaluate and change practice or address training needs? Describe: [Click or tap here to enter text.](#)

10.1.6 Lead Agencies must describe effective internal controls that are in place to ensure program integrity and accountability for all CCDF expenditures. Describe how the Lead Agency uses the following to regularly evaluate the effectiveness of Lead Agency internal control activities for all CCDF expenditures.

a. Error rate review triennial report results (if applicable). Describe who this information is shared with and how the Lead Agency uses the information to evaluate the effectiveness of its internal controls: [Click or tap here to enter text.](#)

b. Audit results. Describe who this information is shared with and how the Lead Agency uses the information to evaluate the effectiveness of its internal controls: [Click or tap here to enter text.](#)

c. Other. Describe who this information is shared with and how the Lead Agency uses the information to evaluate the effectiveness of its internal controls: [Click or tap here to enter text.](#)

10.1.7 Has the Lead Agency or other entities identified any weaknesses in its internal controls?

- a. No.
- b. Yes. If yes, what were the indicators? How did you use the information to strengthen your internal controls? [Click or tap here to enter text.](#)

10.2 Fraud Investigation, Payment Recovery, and Sanctions

Lead Agencies must have the necessary processes 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 and other review processes, may result in payment or nonpayment (administrative) errors and may or may not be the result of fraud, based on the Lead Agency definition.

10.2.1 Strategies used to identify and prevent program violations. Check all that apply:

In a. through g. below, check those activities that your Lead Agency employs to ensure program integrity, and then identify what type of program violations these activities address and describe the activities as well as the results of these activities based on your most recent analysis.

- a. 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)).
 - i. Intentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - ii. Unintentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - iii. Agency errors. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
- b. Run system reports that flag errors (include types).
 - i. Intentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - ii. Unintentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - iii. Agency errors. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
- c. Review enrollment documents and attendance or billing records.
 - i. Intentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - ii. Unintentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - iii. Agency errors. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
- d. Conduct supervisory staff reviews or quality assurance reviews.

- i. Intentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - ii. Unintentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - iii. Agency errors. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
- e. Audit provider records.
 - i. Intentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - ii. Unintentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - iii. Agency errors. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
- f. Train staff on policy and/or audits.
 - i. Intentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - ii. Unintentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - iii. Agency errors. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
- g. Other.
 - i. Intentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - ii. Unintentional program violations. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)
 - iii. Agency errors. Describe the activities, the results of these activities, and how they inform better practice: [Click or tap here to enter text.](#)

10.2.2 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 which 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. Consider in your response potential fraud committed by providers, clients, staff, vendors, and contractors. 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 based on the most recent analysis: [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 based on the most recent analysis: [Click or tap here to enter text.](#)
 - iii. Recover through repayment plans. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
 - iv. Reduce payments in subsequent months. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
 - v. Recover through State/Territory tax intercepts. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
 - vi. Recover through other means. Describe the activities and the results of these activities based on the most recent analysis: [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 based on the most recent analysis: [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. Does the Lead Agency investigate and recover improper payments due to unintentional program violations?
- i. No.
 - ii. Yes.

If yes, check and describe below 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.

- A. 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 based on the most recent analysis: [Click or tap here to enter text.](#)
- B. 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 based on the most recent analysis: [Click or tap here to enter text.](#)
- C. Recover through repayment plans. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)

- D. Reduce payments in subsequent months. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
 - E. Recover through State/Territory tax intercepts. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
 - F. Recover through other means. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
 - G. 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 based on the most recent analysis: [Click or tap here to enter text.](#)
 - H. Other. Describe the activities and the results of these activities: [Click or tap here to enter text.](#)
- d. Does the Lead Agency investigate and recover improper payments due to agency errors?
- i. No.
 - ii. Yes.

If yes, 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.

- A. 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 based on the most recent analysis: [Click or tap here to enter text.](#)
- B. 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 based on the most recent analysis: [Click or tap here to enter text.](#)
- C. Recover through repayment plans. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
- D. Reduce payments in subsequent months. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
- E. Recover through State/Territory tax intercepts. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)

- F. Recover through other means. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
- G. 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 based on the most recent analysis: [Click or tap here to enter text.](#)
- H. Other. Describe the activities and the results of these activities: [Click or tap here to enter text.](#)

10.2.3 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. Describe this process, including a description of the appeal process for clients who are disqualified. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
- b. Disqualify the provider. Describe this process, including a description of the appeal process for providers who are disqualified. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
- c. Prosecute criminally. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)
- d. Other. Describe the activities and the results of these activities based on the most recent analysis: [Click or tap here to enter text.](#)

Appendix 1: Lead Agency Implementation Plan

Purpose: Lead Agencies will use this form to submit action plans for each provision identified as non-compliant to show how it will reach full implementation.

When to submit: This appendix will be completed for each non-compliance identified within 60 days of receiving official notification via the CCDF Plan approval letter.

Instructions: Complete the table for each non-compliance. Rows may be added if additional steps are needed.

- **Column A. Action Steps:** List the action steps needed to correct the finding. Consider legislative approval or other constraints when thinking about milestones and timelines (*Note: compliance will not be determined until the CCDF Plan is amended and approved*)
- For each action step list the:
 - **Column B. Responsible Entity:** Please include the entity (team, individual, etc.) responsible for completing this action step. Include the name, title, and agency of any other responsible parties the Lead Agency needs to work with to correct the findings.
 - **Column C. Anticipated Partners:** Include any entities (beyond those identified in “Column B. Responsible Entity”) the Lead Agency expects to partner with on the action step.
 - **Column D. Milestones:** Identify how you will measure completion of each step toward compliance, including any indicators or progress measurements.
 - **Column E. Expected Completion Date:** List the expected completion date for each activity.
 - **Column F. Supporting Resources Requested:** Identify what support and/or resources are needed from the OCC to implement the action steps and to address anticipated barriers or challenges, including training and technical assistance.

- **Overall Target Date for Compliance:** List date Lead Agency anticipates completing implementation, achieving full compliance with all aspects of the findings.

- **Anticipated barriers or challenges and mitigation efforts:** Describe any anticipated barriers or challenges that might be encountered while working toward implementation (e.g., legislative session timelines; systems change issues). Include in this description, the Lead Agency’s plan for how they will mitigate these barriers or challenges.

Appendix 1: Form

[Plan question with non-compliance and associated provision will pre-populate based on preliminary notice of non-compliance]

A. Action Steps	B. Responsible Entity	C. Anticipated Partners	D. Milestones	E. Expected Completion Date	F. Supporting Resources Requested
Step 1:					
Step 2:					
Step 3:					
Step 4:					
Step 5:					
[Additional steps added as necessary]					
Overall Target Date for Compliance:					
Anticipated barriers or challenges and mitigation efforts:					