DRAFT FOR 60-DAY COMMENT

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Child Care and Development Fund (CCDF) Plan

for

State/Territory ***Click or tap here to enter text.***

FFY 2028-2030

This Plan describes the Child Care and Development Fund program to be administered by the state or territory for the period from 10/01/2027 to 9/30/2030, as provided for in the applicable statutes and regulations. The Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described.

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

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1. CCDF Program Integrity and Lead Agency Program Administration Responsibilities

This section identifies the CCDF Lead Agency, CCDF Lead Agency leadership, and the entities and individuals responsible for CCDF Program Administration.

1.1. CCDF Lead Agency Designation and Administrative Structure

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.

1.1.1. Lead Agency Program Assurances

a. By submitting this Plan, the state/territory Lead Agency assures that it will have in effect a program that complies with the provisions of the CCDF Plan, and that it is administered in accordance with the Child Care and Development Block Grant (CCDBG) Act (Pub. L. 113-186), as amended (42 U.S.C. § 9857 et seq.); section 418 of the Social Security Act (42 U.S.C. § 618); and all other applicable federal laws and regulations.

42 U.S.C. 9857, 42 U.S.C. 618, 98.15(a)(1)

(Select the appropriate box below.)

☐ Check this box to provide assurance.

☐ Check this box to acknowledge that the state remains non-compliant for identified CCDF requirements from the previous oversight cycle (i.e., previous Plan, cycle 3 monitoring, or others) and will provide an action plan for addressing those non-compliances upon request.

b. In accordance with CCDF statute and regulations, the Lead Agency assures it will provide documents, papers, manuals, instructions, and records to ACF upon reasonable request to monitor compliance with the CCDF statute, regulations and the Plan.

31 U.S.C. 3352, 42 U.S.C. 9858g(b)(1), 98.90(a)

☐ Check this box to provide assurance

1.1.2. Lead Agency Designation

Identify the Lead Agency or joint interagency office designated by the state or territory.

42 U.S.C. 9858c(c)(1), 98.16(a)

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

b. Lead Agency or Joint Interagency contact information:

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

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

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

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

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

c. Lead Agency or Joint Interagency Official contact information:

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

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

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

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

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

1.1.3. CCDF Administrator

Identify the CCDF Administrator designated by the Lead Agency as the day-to-day contact with responsibility for the state's or territory's CCDF program. 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.

42 U.S.C. 9858c(c)(1), 98.16(a)

a. CCDF Administrator contact information:

i. CCDF Administrator First Name: *Click or tap here to enter text.*

ii. CCDF Administrator Last Name: *Click or tap here to enter text.*

iii. Title of the CCDF Administrator: *Click or tap here to enter text.*

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

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

b. CCDF Co-Administrator contact information (if applicable):

i. CCDF Co-Administrator First Name: *Click or tap here to enter text.*

ii. CCDF Co-Administrator Last Name: *Click or tap here to enter text.*

iii. Title of the CCDF Co-Administrator: *Click or tap here to enter text.*

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

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

1.1.4. Lead Agency Priorities

What are the Lead Agency's priorities for your CCDF program during this funding period? For each priority, identify how the Lead Agency will measure progress and determine success (e.g., number of children served, change in licensed capacity in underserved areas, reduction in improper payment rate, percentage of providers receiving attendance or billing reviews, etc.). (limit 400 words): *Click or tap here to enter text.*

42 U.S.C. 9857(b)(1), 98.11(b)(1)

1.2. Effective CCDF Program Internal Controls

In this section, Lead Agencies will describe their internal controls for the CCDF Program and how those internal controls effectively ensure program integrity, address fraud detection and reduce fraud, waste, and abuse for all CCDF funds received by the Lead Agency.

Program Administration Activities

For each of the following CCDF program administration activities listed, respond to questions a-d below to identify who is responsible for setting CCDF program rules and policies and conducting the activity and how the Lead Agency monitors those entities.

1.2.1. Eligibility Internal Controls

1.2.2. Payment Rates and Policies Internal Controls

1.2.3. Sliding Fee Scale Internal Controls

1.2.4. Provider Licensing and Health and Safety Standards and Processes Internal Controls

1.2.5. Quality Improvement Activities (Including QIS) Internal Controls

Questions to complete for each activity:

a. Who is responsible for setting CCDF rules and policies related to this activity? Check all that apply.

42 U.S.C. 9858b(b)(1)(A), 31 U.S.C. 3352, 98.16(a), 98.10, 98.11

☐ CCDF Lead Agency

☐ Other entity.

i. Identify the other entity/ies responsible for setting rules and policies related to this activity.

Name of other entity: *Click or tap here to enter text.*
Number of other entity: *Click or tap here to enter text.*
Based on 2 CFR 200.331, is this entity considered a sub-recipient or contractor? *Click or tap here to enter text.*
If considered a contractor under 2 CFR 200.331, provide a justification or list of factors to support this designation: *Click or tap here to enter text.*

ii. Certify that you have a written agreement with each entity listed above that includes all the required components, including tasks to be performed, schedule for completing tasks, budget which itemizes categorical expenditures in accordance with CCDF requirements, indicators or measures to assess performance of those agencies to ensure CCDF requirements are met.

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.
If no, describe: *Click or tap here to enter text.*

b. Who is responsible for performing this activity?

42 U.S.C. 9858b(b)(1)(A), 31 U.S.C. 3352, 98.16(a), 98.10, 98.11

☐ CCDF Lead Agency

☐ Other entity/ies

i. Identify the other entity/ies that performs this activity.

Name of other entity: *Click or tap here to enter text.*
Number of other entity: *Click or tap here to enter text.*
Based on 2 CFR 200.331, is this entity considered a sub-recipient or contractor? *Click or tap here to enter text.*
If considered a contractor under 2 CFR 200.331, provide a justification or list of factors to support this designation: *Click or tap here to enter text.*

ii. Certify that you have a written agreement with each entity listed above that includes all the required components, including tasks to be performed, schedule for completing tasks, budget which itemizes categorical expenditures in accordance with CCDF requirements, indicators or measures to assess performance of those agencies to ensure CCDF requirements are met.

☐ Yes

☐ No. *If no*, Describe: *Click or tap here to enter text.*

c. Based on the CCDF program administrative structure reported above, how does the Lead Agency monitor entities performing this activity to ensure compliance with Federal CCDF regulations and Lead Agency policies? *Click or tap here to enter text.*

42 U.S.C. 9858b(b)(1)(A), 31 U.S.C. 3352, 98.16(a), 98.10, 98.11

1.2.6. Comprehensive Background Checks Internal Controls

a. Who is responsible for conducting child care background checks?

42 U.S.C. 9858b(b)(1)(A), 31 U.S.C. 3352, 98.16(a), 98.10, 98.11

☐ CCDF Lead Agency

☐ Centralized background check unit

☐ Other agencies or local jurisdictions

i. Identify the other agencies or local jurisdictions that are responsible for conducting child care background checks.

Name of other entity: *Click or tap here to enter text.*
Number of other entity: *Click or tap here to enter text.*
Based on 2 CFR 200.331, is this entity considered a sub-recipient or contractor? *Click or tap here to enter text.*
If considered a contractor under 2 CFR 200.331, provide a justification or list of factors to support this designation: *Click or tap here to enter text.*

ii. Does the Lead Agency certify that all agencies or local jurisdictions listed above conduct child care background checks in accordance with CCDF requirements (e.g., timeliness, disqualifying offenses, appeals process, interstate check responses, privacy protections, and fees)?

☐ Yes

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

iii. Certify the Lead Agency has agreements (e.g., MOUs, contracts, or other written arrangements) with other agencies or agencies or local jurisdictions involved in conducting background checks.

☐ Yes

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

1.2.7. Processes to Train about CCDF Requirements and Program Integrity

a. Does the Lead Agency certify that it implements training about CCDF program requirements, internal controls, and fraud prevention for staff of the Lead Agency, other agencies engaged in the administration of CCDF, and child care providers?

31 U.S.C. 3352, 98.16(dd) 98.68(a)(3) 98.68(a)(4)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. *If no*, describe: *Click or tap here to enter text.*

b. How does the Lead Agency determine training needs about CCDF program requirements and internal controls for staff of the Lead Agency, other agencies engaged in the administration of CCDF, and child care providers? Describe: *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd), 98.20(a)(3), 98.68(a)(3), 98.68(a)(4)

c. How does the Lead Agency evaluate and track the effectiveness of training about CCDF program requirements and internal controls for staff of the Lead Agency, other agencies engaged in the administration of CCDF, and child care providers? Describe: *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd), 98.20(a)(3), 98.68(a)(3), 98.68(a)(4)

1.2.8. Use of Error Rate and Audit Results to Evaluate the Effectiveness of Internal Control Activities

31 U.S.C. 3352, 98.16(dd), 98.68(a)(4)

a. Describe how the Lead Agency uses and shares the error rate information to evaluate the effectiveness of its internal controls: *Click or tap here to enter text.*

i. What internal control program improvements were implemented as a result of the error rate process? *Click or tap here to enter text.*

b. Describe who the audit results are 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.*

i. What internal control program improvements were implemented as a result of this process? *Click or tap here to enter text.*

c. Other. Describe who the results of other internal control activities are 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.*

1.3. Effective Fiscal Management Practices

1.3.1. Fiscal management practices

Describe the Lead Agency's fiscal management practices listed below for all CCDF expenditures. In your response, consider strategies such as segregation of duties, internal checks and internal oversight layers, and communication between fiscal and program staff.

a. Fiscal oversight of CCDF funds, including grants and contracts. Describe: *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd), 98.45(n)(4), 98.68(a)(1)

b. Tracking systems that 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 CCDF regulations, including reconciliation of billing and attendance records. Describe**:** *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd), 98.67(c)(2), 98.68(a)(1)

c. Processes and procedures to prepare and submit required state and federal fiscal reporting. Describe: *Click or tap here to enter text.*

31 U.S.C. 3352, 98.67(c)(1), 98.68(a)(1)

d. Other. Describe**:** *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd), 98.68

1.3.2. Effectiveness of fiscal management practices

Describe how the Lead Agency evaluates the effectiveness of the fiscal management practices in place to for all CCDF expenditures, including:

a. How the Lead Agency defines effective fiscal management practices. Describe: *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd), 98.68(a)(1)

b. How the Lead Agency measures and tracks results and effectiveness of their fiscal management practices. Describe: *Click or tap here to enter text.*

31 U.S.C. 3352, 98.67(c)(2), 98.68(a)(1)

c. How the results inform implementation. Describe: *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd), 98.68(a)

d. Other. Describe: *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd), 98.68(a)(1)

1.4. Fraud and Program Violation Identification, Investigation, Payment Recovery, and Sanctions

Lead Agencies must have the necessary controls to detect fraud and other program violations to ensure program integrity. Program violations can include both intentional and unintentional client, provider, and/or agency violations, as defined by the Lead Agency. These violations and errors, identified through the error-rate review process and other oversight 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.

1.4.1. Improper Payment Investigation and Recovery

Lead Agencies must identify and recover misspent funds that are a result of fraud, and they have the option to recover any misspent funds that are a result of other program violations or agency errors.

Fraud may include an intentional act or omission by a parent, client, provider, staff member, contractor, or other individual or entity involved in the administration or receipt of CCDF funds that results in, or attempts to result in, the improper authorization, receipt, billing, payment, or use of CCDF benefits or funds.

a. Identify which agency (e.g., Lead Agency or other agency such as a state's attorney or OIG) is responsible for each of the following:

31 U.S.C. 3352, 98.16(dd)

i. Receiving reports of potential fraud from the Lead Agency: *Click or tap here to enter text.*

ii. Investigating fraud: *Click or tap here to enter text.*

iii. Pursuing fraud convictions: *Click or tap here to enter text.*

iv. Recoupment of fraudulent payments: *Click or tap here to enter text.*

b. Definitions:

42 U.S.C. 9858c(c)(2)(N)(ii), 31 U.S.C. 3352, 98.21(a)(5)(iii)

i. Provide the Lead Agency's definition of fraud committed by parents, providers, or other responsible parties: *Click or tap here to enter text.*

ii. Provide the Lead Agency's definition(s) of intentional program violation committed by parents, providers, or other responsible parties: *Click or tap here to enter text.*

c. Check all the activities that the Lead Agency uses to investigate and recover improper payments due to fraud. Describe each activity checked and include the results of such activity. 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 violations. Activities can include, but are not limited to, the following:

31 U.S.C. 3352, 98.16(dd), 98.68(b)(2)

i. ☐ Require recovery of an improper payment. 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. 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.*

d. What type of sanction will the Lead Agency place on parents and providers to help reduce improper payments due to fraud? Check and describe all that apply: *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd), 98.68(b)(2)

i. ☐ 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.*

ii. ☐ 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.*

iii. ☐ Prosecute criminally. Describe the activities and the results of these activities based on the most recent analysis: *Click or tap here to enter text.*

e. Does the Lead Agency investigate and recover improper payments due to unintentional program violations?

31 U.S.C. 3352, 98.16(dd)

☐ No.

☐ Yes.

If yes, check below any activities that the Lead Agency will use to investigate and recover improper payments due to unintentional program violations. Describe each activity checked and 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.

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). 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. *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.*

f. Does the Lead Agency investigate and recover improper payments due to agency errors? *Click or tap here to enter text.*

31 U.S.C. 3352, 98.16(dd)

☐ Yes

☐ No

If yes, check all activities that the Lead Agency will use to investigate and recover improper payments due to agency errors. Describe each activity checked and include in the description how each activity assists in the investigation and recovery of improper payments due to administrative errors. Include a description of the results of such activity.

i. ☐ 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. 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 based on the most recent analysis: *Click or tap here to enter text.*

1.4.2. Strategies used to identify and prevent program violations

Check the activities the Lead Agency employs to ensure program integrity, and for each checked activity, identify what type of program violations the activity addresses, describe the activity, and how the results (findings) from these activities are used to identify risk and improve program administration based on the most recent analysis.

31 U.S.C. 3352, 98.68(b)(1)

Strategy	Intentional Program Violation	Unintentional Program Violation	Agency Errors
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)). Describe the activities, the results of these activities, and how they are used to identify risk, improve program	☐	☐	☐

Strategy	Intentional Program Violation	Unintentional Program Violation	Agency Errors
administration, and inform better practice. Then indicate by checking below which types of violations these activities apply to: *Click or tap here to enter text.*			
b. ☐ Run system reports that flag errors (include types). Describe the activities, the results of these activities, and how they inform better practice. Then indicate by checking below which types of violations these activities apply to: *Click or tap here to enter text.*	☐	☐	☐
c. ☐ Review enrollment documents and attendance or billing records. Describe the activities, the results of these activities, and how they are used to identify risk, improve program administration, and inform better practice. Then indicate by checking below which types of violations these activities apply to: *Click or tap here to enter text.*	☐	☐	☐
d. ☐ Conduct supervisory staff reviews or quality assurance reviews. Describe the activities, the results of these activities, and how they are used to identify risk, improve program administration, and inform better practice. Then indicate by checking below which types of violations these activities apply to: *Click or tap here to enter text.*	☐	☐	☐
e. ☐ Audit provider records.	☐	☐	☐
f. ☐ Train staff on policy and/or audits.	☐	☐	☐
g. ☐ Operate a fraud hotline.	☐	☐	☐
h. ☐ Other. Describe the activity(ies): *Click or tap here to enter text.*	☐	☐	☐

1.5. Lead Agency CCDF Program Responsibilities

1.5.1. Consultation efforts in CCDF plan development

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

42. U.S.C. 9858c(c)(2), 98.12(b), 98.14(b)

b. Describe how the Lead Agency consulted with the State Advisory Council or similar coordinating body: *Click or tap here to enter text.*

42. U.S.C. 9858c(c)(2), 98.14(a)(1)(vii), 98.15(b)(1), 98.16(c)

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.*

42. U.S.C. 9858c(c)(2), 98.10(f), 98.12(c), 98.16(e)

d. Identify other entities, agencies, or organizations consulted on the development of the CCDF Plan (e.g., representatives from parent groups, the child care workforce, or statewide afterschool networks) and describe those consultation efforts: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2), 98.16(e)

1.5.2. Public Hearing

Does the Lead Agency certify that it held at least one hearing after at least 20 days of public notice to provide the public an opportunity to comment on the provision of child care services under the CCDF Plan before the Plan is submitted to ACF, but no earlier than nine months before the Plan becomes effective, and it made the contents of the draft Plan available to the public in advance of the hearing, including posting to an accessible public web site?

42 U.S.C. 9858b(b)(1)(C), 98.14(c)(1), 98.16(f)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. *If no*, describe: *Click or tap here to enter text.*

1.5.3. Public availability of final Plan, amendments, and waivers

Does the Lead Agency certify that it makes the submitted and approved final Plan, any approved Plan amendments, and any approved waiver requests publicly available on a website?

42 U.S.C. 9858b(b)(1)(C), 98.14(d)

☐ Yes. Provide the website link to where the Plan, any Plan amendments, and waivers (if applicable) are available. Note: A Plan amendment is required if the website address where the Plan is posted changes. *Click or tap here to enter text.*

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. *If no*, describe: *Click or tap here to enter text.*

1.5.4. Coordination with parents and parent organizations

Briefly describe how the Lead Agency coordination with parents and parent organizations, and the results or expected results of this coordination, on the provision of child care services. *Click or tap here to enter text.*

1.5.5. Coordination with required partners

Briefly describe how the Lead Agency coordinates and the results or expected results of this coordination of the provision of child care services with the organizations and agencies 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.

42 U.S.C. 9858c(c)(2)(O)(i), 98.10(e), 98.12(a), 98.14(a)(1), 98.14(a)(2), 98.16(e)

Coordinating Partner	Description of coordination and results of coordination	Confirm response is the same as previous cycle	Edit response (if needed)
a. State Advisory Council on Early Childhood Education and Care or similar coordinating body (pursuant to 642B(b)(I)(A)(i) of the Head Start Act).	*Prepopulated response*	☐ Y ☐ N	
b. Indian Tribe(s) and/or Tribal organization(s), at the option of the Tribe or Tribal organization. Including which Tribe(s) was (were) involved	*Prepopulated response*	☐ Y ☐ N ☐ N/A. There are no Indian Tribes and/or Tribal organizations in the state/territory	
c. State/territory agency(ies) responsible for programs for children with disabilities, including early intervention programs authorized under the Individuals with Disabilities Education Act.	*Prepopulated response*	☐ Y ☐ N	
d. State/territory office/director for Head Start State collaboration.	*Prepopulated response*	☐ Y ☐ N	
e. State/territory agency	*Prepopulated*	☐ Y	

Coordinating Partner	Description of coordination and results of coordination	Confirm response is the same as previous cycle	Edit response (if needed)
responsible for public health, including the agency responsible for immunizations.	*response*	☐ N	
f. State/territory agency responsible for employment services/workforce development.	*Prepopulated response*	☐ Y ☐ N	
g. State/territory agency responsible for public education, including pre-Kindergarten.	*Prepopulated response*	☐ Y ☐ N	
h. State/territory agency responsible for child care licensing.	*Prepopulated response*	☐ Y ☐ N	
i. State/territory agency responsible for the Child and Adult Care Food Program (CACFP) and other relevant nutrition programs.	*Prepopulated response*	☐ Y ☐ N	
j. 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.	*Prepopulated response*	☐ Y ☐ N	
k. State/territory agency responsible for the TANF program.	*Prepopulated response*	☐ Y ☐ N	
l. State/territory agency responsible for Medicaid and the state Children's Health Insurance Program.	*Prepopulated response*	☐ Y ☐ N	

Coordinating Partner	Description of coordination and results of coordination	Confirm response is the same as previous cycle	Edit response (if needed)
m. State/territory agency responsible for mental health services.	*Prepopulated response*	☐ Y ☐ N	
n. Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development.	*Prepopulated response*	☐ Y ☐ N	
o. Agency responsible for emergency management and response.	*Prepopulated response*	☐ Y ☐ N	
p. Statewide after-school network or other coordinating entity for out-of-school time (if applicable).	*Prepopulated response*	☐ Y ☐ N	
q. Other.	*Prepopulated response*	☐ Y ☐ N	

1.5.6. Combining funding for CCDF services

Lead Agencies may combine CCDF funds with other Federal, state, and local child care and early childhood development programs.

a. Does the Lead Agency combine funding for CCDF services with other public funds, such as Title XX of the 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?

42 U.S.C. 9858c(c)(2)(O)(ii), 98.14(a)(3)

☐ No. (*If no*, skip to question 1.5.7)

☐ Yes

i. *If yes*, describe which funds the Lead Agency will combine, and what activities, policies, or program changes the combined funds support: *Click or tap here to enter text.*

1.5.7. Funds used to meet CCDF matching and MOE requirements

☐ Not applicable. The Lead Agency is a territory (skip to 1.5.8).

a. Does the Lead Agency use public or donated funds to meet match and maintenance of effort requirements?

42 U.S.C. 9858c(c)(2)(O)(ii), 98.16(d)(2), 98.55(e)(1), 98.55(f)

☐ Public. Describe which funds are used: *Click or tap here to enter text.*

☐ Donated. Identify the entity(ies) designated to receive donated funds (check all that apply):

i. ☐ Donated directly to the state.

ii. ☐ 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.*

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

42 U.S.C. 9858c(c)(2)(O)(ii), 98.15(a)(6), 98.16(c), 98.16(w), 98.55(b), 98.55(c)(1), 98.55(h), 98.55(h)(2), 98.55(h)(4)

- The Lead Agency did not reduce its level of effort in full-day/full-year child care services.
- 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.

☐ Yes

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

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

42 U.S.C. 9858c(c)(2)(O)(ii), 98.16(w), 98.55(b), 98.55(c), 98.55(h)(4)

- The Lead Agency ensures that pre-Kindergarten programs meet the needs of working parents.
- The estimated percentage of the state Matching requirement that will be met with pre-Kindergarten expenditures does not exceed 30 percent.
- If the percentage is more than 10 percent of the State Matching requirement, the state will coordinate its pre-Kindergarten and child care services to expand the availability of child care.

☐ Yes

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

1.5.8. Funding a system or network of CCR&R organization(s)

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

42 U.S.C. 9858c(c)(3)(B)(iii)(I), 98.52(a), 98.52(b)

☐ No. The Lead Agency does not fund a system or network of local or regional CCR&R organization(s).

☐ Yes. The Lead Agency funds a system or network of local or regional CCR&R organization(s) which meet the requirements in 42 U.S.C. 9858c(c)(3)(B)(iii)(II). Briefly describe how the funded CCR&R organizations provide those required activities, as directed by the Lead Agency: *Click or tap here to enter text.*

1.5.9. Lead Agency public-private partnerships

Identify and describe any public-private partnerships with entities, including faith-based and community-based organizations, encouraged by the Lead Agency to leverage existing service delivery systems to further the goals of CCDF: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(P), 98.14(a)(4), 98.16(d)(2), 98.16(e), 98.55(f)

1.5.10. Statewide Disaster Plan Updates

42 U.S.C. 9858c(c)(2)(U), 98.16(bb)

a. Does the Lead Agency certify that the State Disaster Preparedness and Response Plan has not changed since the 2025-2027 State and Territory Plan cycle, and that the responses prepopulated below are accurate?

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. If no, describe when was the Lead Agency's Child Care Disaster Plan most recently updated and for what reason? *Click or tap here to enter text.*

b. Please certify compliance by checking the required elements the Lead Agency includes in the current State Disaster Preparedness and Response Plan.

i. The State Disaster Preparedness and Response Plan was developed in collaboration with the following required entities:

☐ State human services agency

☐ State emergency management agency

☐ State licensing agency

☐ State health department or public health department

☐ Local and state child care resource and referral agencies

☐ State Advisory Council on Early Childhood Education and Care or similar coordinating body

ii. ☐ The plan includes guidelines for the continuation of child care subsidies.

iii. ☐ The plan includes guidelines for the continuation of child care services.

iv. ☐ The plan includes procedures for the coordination of post-disaster recovery of child care services.

v. ☐ The plan contains requirements for all CCDF providers (both licensed and license-exempt) to have in place:

☐ Procedures for evacuation

☐ Procedures for relocation

☐ Procedures for shelter-in-place.

☐ Procedures for communication and reunification with families

☐ Procedures for continuity of operations

☐ Procedures for accommodations of infants and toddlers

☐ Procedures for accommodations of children with disabilities

☐ Procedures for accommodations of children with chronic medical conditions

vi. ☐ The plan contains procedures for staff and volunteer emergency preparedness training.

vii. ☐ The plan contains procedures for staff and volunteer practice drills.

viii. *If any of the above are not checked*, describe: *Click or tap here to enter text.*

ix. 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.*

1.5.11. Availability of Child Care Software and Information Technology

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 is made available to other public agencies? This includes public agencies in other states/territories for their use in administering child care or related programs.

42 U.S.C. 9858(c)(a), 98.15(a)(11)

☐ Yes

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

1.5.12. Confidentiality of Personally Identifiable Information

The Lead Agency certifies that it has policies in place 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.

42 U.S.C. 9858(c)(a), 98.15(b)(13), 98.16(c)

☐ Yes. Provide link to policy: *Click or tap here to enter text.*

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

1.6. Quality Improvement & Child Care Workforce Certifications

Lead Agencies must use at least 12% of their CCDF expenditures, 3% of which must benefit infants and toddlers, 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 statute and rule. 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.

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

1.6.1. Quality Improvement and Needs Assessment Process and Findings

a. Describe the Lead Agency needs assessment process for expending CCDF funds on activities to improve the quality of child care, including the frequency of assessment, how a diverse range of parents and providers were consulted, and how their views are incorporated: *Click or tap here to enter text.*

42 U.S.C. 9858e(a)(1), 98.16(j), 98.50(b)(1), 98.53(a), 98.53(b), 98.53(c), 98.53(e)

b. 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.*

42 U.S.C. 9858e(a)(1), 98.16(j), 98.53(a), 98.53(c)

1.6.2. Increasing access to high-quality child care

Describe how the Lead Agency determines and 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.*

42 U.S.C. 9858c(c)(2)(Q), 98.16(z), 98.46(b), 98.50(a)(4)

1.6.3. Quality improvement activities

Identify Lead Agency plans, if any, to spend CCDF funds for each of the following quality improvement activities during this plan cycle. If an activity is checked "yes", briefly describe the Lead Agency's current and/or future plans for this activity.

42 U.S.C. 9858e(b)(1), 98.16(j), 98.53(a)

Quality Improvement Activity	**No plans to spend in this category of activities at this time.**	**Yes. If yes, briefly describe current and future activities.**
a. Supporting the training and professional development of the child care workforce, including birth to five and school-age providers.	☐	☐ *Click or tap here to enter text.*
b. Developing, maintaining, or implementing early learning and developmental guidelines.	☐	☐ *Click or tap here to enter text.*
c. Developing, implementing, or	☐	☐ *Click or tap here to enter text.*

Quality Improvement Activity	No plans to spend in this category of activities at this time.	Yes. If yes, briefly describe current and future activities.
enhancing a quality improvement system.		
d. Improving the supply and quality of child care services for infants and toddlers.	☐	☐ *Click or tap here to enter text.*
e. Establishing or expanding a statewide system of CCR&R services.	☐	☐ *Click or tap here to enter text.*
f. Facilitating compliance with Lead Agency child care licensing, monitoring, inspection and health and safety standards.	☐	☐ *Click or tap here to enter text.*
g. Evaluating and assessing the quality and effectiveness of child care services within the state/territory.	☐	☐ *Click or tap here to enter text.*
h. Accreditation support.	☐	☐ *Click or tap here to enter text.*
i. Supporting state/territory or local efforts to develop high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development.	☐	☐ *Click or tap here to enter text.*
j. Other activities determined by the Lead Agency 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.	☐	☐ *Click or tap here to enter text.*

1.6.4. Strategies to support provider business practices

Describe strategies that the Lead Agency is developing and/or implementing to strengthen child care providers' business management and administrative practices, increase program integrity,

and reduce fraud at the provider level (e.g. technical assistance, training, or implementing the CCDF Fraud Toolkit). *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(V), 98.16(aa)

1.6.5. Strategies to support provider participation

42 U.S.C. 9858c(c)(2)(v), 98.15(a)(7), 98.16(ee)

Lead Agencies must facilitate participation of child care providers and staff with disabilities and limited English proficiency in the child care subsidy system. Describe how the Lead Agency will facilitate this participation, including engagement with providers to identify barriers and specific strategies used to support their participation: *Click or tap here to enter text.*

a. Providers and staff who have disabilities: *Click or tap here to enter text.*

b. Providers and staff with limited English proficiency: *Click or tap here to enter text.*

1.6.6. Professional Development Framework Updates and Consultation

Did the Lead Agency make any updates to the professional development framework since the FFY 2025-2027 CCDF Plan was submitted?

42 U.S.C. 9858c(c)(2)(G)(ii)(II), 98.44(a)(1)

☐ 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.*

☐ No

1.6.7. Description of the professional development framework

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

42 U.S.C. 9858c(c)(2)(G)(ii)(I), 98.44(a)(3)

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.*

g. To the extent practicable, continuing education unit trainings and credit-bearing professional development. Describe: *Click or tap here to enter text.*

h. Other. Describe: *Click or tap here to enter text.*

1.6.8. Impact of the Professional Development Framework

Describe how the framework improves the quality, stability, and retention of caregivers, teachers, and directors, including financial incentives and compensation improvements, and identify what data are available to assess the impact: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(G)(ii)(I), 98.44(a)(7)

1.6.9. Required hours of ongoing training

Provide the number of hours of ongoing training required annually (including health and safety training addressed in Section 4, and all other training) for CCDF-eligible providers in the following settings:

42 U.S.C. 9858c(c)(2)(G)(ii), 98.15(a)(7), 98.16(c), 98.44(b)(2)

a. Licensed center-based care: *Click or tap here to enter text.*

b. Licensed family child care: *Click or tap here to enter text.*

c. Licensed in-home care: *Click or tap here to enter text.*

d. License-exempt center-based care: *Click or tap here to enter text.*

e. License-exempt family child care: *Click or tap here to enter text.*

f. License-exempt in-home care: *Click or tap here to enter text.*

1.6.10. Accessibility of professional development for Tribal Organizations

Describe how the Lead Agency's training and professional development opportunities are accessible to providers in Indian tribes or Tribal organizations receiving CCDF funds (as applicable: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(G)(ii)(IV), 98.15(a)(7), 98.16(c), 98.16(p), 98.44(b)(2)(vi)

1.6.11. Professional development appropriate for the range of children, families, and child care providers

Describe how the Lead Agency's training and professional development requirements reflect the range 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.*

42 U.S.C. 9858c(c)(2)(G)(ii)(V), 98.15(a)(7), 98.16(c), 98.16(p), 98.44(b)(2)(iv)

1.6.12. Child developmental screening

Describe how all providers receive, through training and professional development, information about: (1) existing resources and services the state/territory can make available in conducting developmental screenings and providing referrals to services when appropriate for children who receive assistance under this part, including the coordinated use of the Early and Periodic Screening, Diagnosis, and Treatment program (42 U.S.C. 1396 et seq.) and developmental screening services available under section 619 and part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.); and (2) how child care providers may utilize these resources and services to obtain developmental screenings for children who receive assistance and who may be at risk for cognitive or other developmental delays, which may include social, emotional, physical, or linguistic delays: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(E)(ii), 98.15(b)(4), 98.16(c), 98.33(c), 98.33(c)(1)

1.6.13. Early learning and developmental guidelines

a. Check the boxes below to certify the Lead Agency's early learning and developmental guidelines are:

42 U.S.C. 9858c(c)(2)(T)(i)(I), 98.15(a)(9)(i)

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

vii. *If any components above are not checked*, describe: *Click or tap here to enter text.*

b. Check the boxes below to certify that the required domains are included in the Lead Agency's early learning and developmental guidelines.

42 U.S.C. 9858c(c)(2)(T)(i)(), 98.15(a)(9)

i. ☐ Cognition, including language arts and mathematics

ii. ☐ Social development

iii. ☐ Emotional development

iv. ☐ Physical development

v. ☐ Approaches toward learning

vi. ☐ Other optional domains. Describe any optional domains: *Click or tap here to enter text.*

vii. *If any components above are not checked*, describe: *Click or tap here to enter text.*

c. When were the Lead Agency's early learning and developmental guidelines most recently updated and for what reason? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(T)(i)(III), 98.15(a)(9)(iii), 98.16(c)

d. Provide the Web link to the Lead Agency's early learning and developmental guidelines. *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(T)(i)(III), 98.15(a)(9), 98.16(c)

1.6.14. Use of early learning and developmental guidelines

a. Describe how the Lead Agency uses its early learning and developmental guidelines. *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(T)(i)(II), 98.15(a)(10), 98.16(c)

b. Check the boxes below to certify that CCDF funds are not used to develop or implement an assessment for children that:

42 U.S.C. 9858c(c)(2)(T)(ii)(I), 98.15(a)(10)(i)

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.

v. *If any components above are not checked*, describe: *Click or tap here to enter text.*

2. Eligibility and Enrollment

2.1. Eligibility

2.1.1. Eligibility: age of children served

a. Does the Lead Agency only provide CCDF child care to children under the age of 13?

42 U.S.C. 9858n(4)(A), 98.20(a)(1)(i), 98.20(a)(1)(ii)

☐ Yes

☐ No. *If no*, select the exceptions below.

i. ☐ Children under the age of 19 who are physically and/or mentally incapable of self care

ii. ☐ Children under the age of 19 under court supervision

iii. ☐ Other (describe): *Click or tap here to enter text.*

2.1.2. Eligibility: reason for care

Using the following questions, how does the Lead Agency define the following terms for the purpose of determining CCDF eligibility?

a. Identify which of the following activities are included in your definition of "working" by checking the boxes below.

42 U.S.C. 9858n(4)(C)(i), 98.16(g)(6)

Check all that apply.

i. ☐ An activity for which a wage or salary is paid

ii. ☐ Being self-employed

iii. ☐ Commuting time

iv. ☐ Seeking employment or job search

v. ☐ Other (describe): *Click or tap here to enter text.*

b. Identify which of the following activities are included in your definition of "attending job training" by checking the boxes below.

42 U.S.C. 9858n(4)(C)(i), 98.16(g)(3), 98.16(g)(4)

Check all that apply.

i. ☐ Vocational/technical job skills training

ii. ☐ Apprenticeship or internship program or other on-the-job training

iii. ☐ English as a Second Language training

iv. ☐ Adult Basic Education preparation

v. ☐ Participation in employment service activities

vi. ☐ Commuting time

vii. ☐ Hours required for associated activities such as study groups, lab experiences

viii. ☐ Time for outside class study or completion of homework

ix. ☐ Other (describe): *Click or tap here to enter text.*

c. Identify which of the following diplomas, certificates, degrees, or activities are included in your definition of "attending an educational program" by checking the boxes below.

42 U.S.C. 9858n(4)(C)(i), 98.16(g)(3), 98.16(g)(4)

Check all that apply.

i. ☐ Adult High School Diploma or GED

ii. ☐ Certificate programs (12-18 credit hours)

iii. ☐ One-year diploma (36 credit hours)

iv. ☐ Two-year degree

v. ☐ Four-year degree

vi. ☐ Travel to and from classrooms, labs, or study groups

vii. ☐ Study time

viii. ☐ Hours required for associated activities such as study groups, lab experiences

ix. ☐ Time for outside class study or completion of homework

x. ☐ Other. Describe: *Click or tap here to enter text.*

d. How does the Lead Agency define the following eligibility terms?

42 U.S.C. 9858n(4)(C)(ii), 42 U.S.C. 9858n(10), 98.16(g)(5), 98.16(g)(9)

i. "residing with": *Click or tap here to enter text.*

ii. "in loco parentis": *Click or tap here to enter text.*

e. Provide the sub-populations of children that are included in the Lead Agency's definition of "protective services".

42 U.S.C. 9858n(4)(C)(ii), 98.16(g)(7)

i. Check below all 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 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 experiencing homelessness
G. ☐ Children whose family has been affected by a natural disaster
H. ☐ Other. Describe: *Click or tap here to enter text.*

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

☐ Yes

☐ No

2.1.3. Eligibility Flexibilities for Protective Services

a. 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?

42 U.S.C. 9858n(4)(C)(ii), 98.20(a)(3)(ii)

☐ Yes

☐ No

b. Does the Lead Agency waive the income eligibility requirements on a case-by-case basis for cases in which children receive, or need to receive, protective services?

42 U.S.C. 9858n(4)(C)(ii), 98.20(a)(3)(ii)(A)

☐ Yes

☐ No

c. 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?

42 U.S.C. 9858n(4)(C)(ii), 98.20(a)(2)(ii), 98.20(a)(3)(ii)(A)

☐ Yes

☐ No

2.1.4. Initial eligibility: income limits

a. How are income eligibility limits established?

42 U.S.C. 9858n(4)(B), 98.16(i)(3), 98.16(i)(5), 98.20(a)(2)(i)

☐ State establishes a statewide limit with no local variation. Complete the table below to provide the statewide maximum income eligibility percent and dollar limit or threshold:

Family Size	100% of SMI ($/Month)	Maximum Initial Eligibility Limit (or Threshold) %	Maximum Initial Eligibility Limit (or Threshold) $
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.*

☐ State establishes limits with local variation. Complete the tables below for the region/locality with the highest eligibility limit, region/locality with the lowest eligibility limit, and the region/locality that is most populous:

i. Provide the number of income eligibility tables: *Click or tap here to enter text.*

☐ Eligibility limits are established locally only. Complete the tables below for the region/locality with the highest eligibility limit, region/locality with the lowest eligibility limit, and the region/locality that is most populous:

i. Provide the number of income eligibility tables and describe who sets the limits: *Click or tap here to enter text.*

A. Region/locality with the highest eligibility limit:

Family Size	100% of SMI ($/Month)	Maximum Initial Eligibility Limit (or Threshold) %	Maximum Initial Eligibility Limit (or Threshold) $
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.*

B. Region/locality with the lowest eligibility limit:

Family Size	100% of SMI ($/Month)	Maximum Initial Eligibility Limit (or Threshold) %	Maximum Initial Eligibility Limit (or Threshold) $
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.*

C. Region/locality that is most populous:

Family Size	100% of SMI ($/Month)	Maximum Initial Eligibility Limit (or Threshold) %	Maximum Initial Eligibility Limit (or Threshold) $
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.*

b. Does the Lead Agency certify that they use other funds if the income eligibility limit percent exceeds 85% SMI?

42.U.S.C. 9858c(c)(3)(B)(i), 98.20(a)(2)(i)

☐ Not applicable. The Lead Agency does not allow income eligibility limits above 85% SMI.

☐ Yes, the Lead Agency certifies that they use other funds (not CCDF funds) for families with income that exceeds 85% SMI.

☐ No. The Lead Agency establishes income eligibility limits above 85% SMI and includes CCDF funds to pay for families with income that exceeds 85% SMI. If checked, describe: *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?

42 U.S.C. 9858n(4)(B), 98.16(i)(5)

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. ☐ Rental income

vii. ☐ Pensions or annuities

viii. ☐ Inheritance

ix. ☐ Other. Describe: *Click or tap here to enter text.*

d. What is the effective date for these income eligibility limits? *Click or tap here to enter text.*

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

42 U.S.C. 9858n(4)(B), 98.20(a)(2)(i)

☐ Data published by the Census Bureau such as LIHEAP

If checked, provide the publication year of the guideline estimates used by the Lead Agency: *Click or tap here to enter text.*

☐ Other. Describe: *Click or tap here to enter text.*

2.1.5. Income eligibility: irregular fluctuations in earnings

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

42 U.S.C. 9858c(c)(2)(N)(i)(II), 98.21(c), 98.16(h)(3)

i. ☐ Average the family's earnings over a period of time (e.g., 12 months).

A. Identify the period of time: *Click or tap here to enter text.*

ii. ☐ Request earning statements that are most representative of the family's monthly income.

iii. ☐ Deduct temporary or irregular increases in wages from the family's standard income level.

iv. ☐ Other. Describe the other ways the Lead Agency takes into account irregular fluctuations in earnings: *Click or tap here to enter text.*

2.1.6. Family asset limit

a. How does the Lead Agency determine that each eligible family does not have assets that exceed $1,000,000?

42 U.S.C. 9858n(4)(B), 98.20(a)(2)(ii)

Check all that apply:

i. ☐ Family self-certification at initial determination and redetermination

ii. ☐ Self-certification includes a statement of penalties for false information

iii. ☐ Additional documentation required. Describe: *Click or tap here to enter text.*

iv. ☐ Other. Describe: *Click or tap here to enter text.*

2.1.7. Additional eligibility criteria

Aside from the eligibility conditions or rules which have been described in 2.1.1 – 2.1.6, is any additional eligibility criteria applied during:

42 U.S.C. 9858n(4), 98.16(i)(5), 98.20(b)

☐ Eligibility determination? If checked, describe: *Click or tap here to enter text.*

☐ Eligibility redetermination? If checked, describe: *Click or tap here to enter text.*

2.1.8. Presumptive eligibility

a. Does the Lead Agency implement presumptive eligibility?

42 U.S.C. 9858c(c)(3)(B)(i), 98.21(e)

☐ Yes

☐ No. *If no,* skip to Section 2.2.2.

If yes, answer the following questions:

i. Describe the Lead Agency's presumptive eligibility policy, including the populations benefiting from the policy (e.g., children in foster care): *Click or tap here to enter text.*

ii. Identify how long the period of presumptive eligibility is: *Click or tap here to enter text.*

2.2. Eligibility Internal Controls

2.2.1. Verification of Presumptive Eligibility

Which of the elements below does the Lead Agency verify before a family is presumptively eligible? For any elements checked below, select the type of check or verification required.

42 U.S.C. 9858c(c)(3)(B)(i), 98.21(e)(1)

Check all that apply.

	Required for Presumptive Eligibility	Type of Verification Required (Check all that apply)
Child's identity	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):
Child's citizenship/ immigration status	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):
Child's age	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):
Child's information for determining protective services or priority group eligibility	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):
Qualifying head of household (e.g., identity, relationship to child)	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid)

	Required for Presumptive Eligibility	Type of Verification Required (Check all that apply)
		☐ Electronic data match (specify source): ☐ Other (describe):
Work	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):
Job training or educational program	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):
Family income (e.g., earned income, unearned income, self-employment)	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):
Household composition	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):
Applicant residence	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):
Other	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school)

	Required for Presumptive Eligibility	Type of Verification Required (Check all that apply)
		☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):

2.2.2. Documentation of Eligibility Determination

Lead Agencies must document and verify that children receiving CCDF funds meet eligibility criteria at the time of eligibility determination and redetermination.

Check the information that the Lead Agency documents and verifies at initial determination and redetermination, identify the type of verification process, and describe what types of documentation or system check is required for verification. Include in the response if the Lead Agency has different documentation or verification for various subpopulations.

42 U.S.C. 9858n(4), 98.68(c)

	Required at Initial Determination	Required at Redetermination	Type of Verification Required (Check all that apply)	Describe the specific documentation or systems used to verify for each checked box:
Child's identity	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):	
Child's citizenship / immigration status	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or	

	Required at Initial Determination	Required at Redetermination	Type of Verification Required (Check all that apply)	Describe the specific documentation or systems used to verify for each checked box:
			school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):	
Child's age	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):	
Child's information for determining protective services or priority group eligibility	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify	

	Required at Initial Determination	Required at Redetermination	Type of Verification Required (Check all that apply)	Describe the specific documentation or systems used to verify for each checked box:
			source): ☐ Other (describe):	
Qualifying head of household (e.g., identity, relationship to child)	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):	
Work	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):	
Job training or educational program	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g.,	

	Required at Initial Determination	Required at Redetermination	Type of Verification Required (Check all that apply)	Describe the specific documentation or systems used to verify for each checked box:
			employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):	
Family income (e.g., earned income, unearned income, self-employment	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):	
Household composition	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data	

	Required at Initial Determination	Required at Redetermination	Type of Verification Required (Check all that apply)	Describe the specific documentation or systems used to verify for each checked box:
			match (specify source): ☐ Other (describe):	
Applicant residence	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):	
Other	☐	☐	☐ Self-attestation ☐ Documentation provided by family ☐ Third-party verification (e.g., employer or school) ☐ Another program eligibility determination (e.g., TANF, SNAP, Medicaid) ☐ Electronic data match (specify source): ☐ Other (describe):	

2.3. Prioritization of Care

2.3.1. Lead Agency definition of priority groups

a. Provide the Lead Agency definition of "Children with special needs": *Click or tap here to enter text.*

42 U.S.C. 98.58c(c)(3)(B)(i), 98.16(g)(1)

b. Provide the Lead Agency definition of "Families with very low incomes": *Click or tap here to enter text.*

42 U.S.C. 98.58c(c)(3)(B)(i), 98.16(g)(8)

2.3.2. Prioritization of child care services

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.

42 U.S.C. 98.58c(c)(3)(B)(i), 98.46(a)(1), 98.46(a)(2), 98.46(a)(3)

Population Prioritized	Prioritize for enrollment in child care services	Serve without placing on waiting list	Other
Children with special needs	☐	☐	☐ Describe: *Click or tap here to enter text.*
Families with very low incomes	☐	☐	☐ Describe: *Click or tap here to enter text.*
Children experiencing homelessness, as defined by the McKinney-Vento Act	☐	☐	☐ Describe: *Click or tap here to enter text.*
Children in foster care (optional)	☐	☐	☐ Describe: *Click or tap here to enter text.*

b. Does the Lead Agency define any other priority groups?

☐ No

☐ Yes. *If yes*, identify the populations prioritized and describe how the Lead Agency prioritizes services: *Click or tap here to enter text.*

2.3.3. Enrollment and outreach for children experiencing homelessness

a. Describe the strategies to allow CCDF enrollment (after an initial eligibility determination) of children experiencing homelessness while required eligibility documentation is obtained. *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(3)(B)(i), 98.51(a), 98.41(a)(1)(i)(C)

b. Does the Lead Agency certify that it conducts specific outreach to families experiencing homelessness?

42 U.S.C. 9858c(c)(3)(B)(i), 98.51(c)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

c. Does the Lead Agency certify it provides training and technical assistance (TA) to providers and appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness?

42 U.S.C. 9858c(c)(3)(B)(i), 98.51(b), 98.51(c)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

2.3.4. Families with limited English proficiency and persons with disabilities: outreach and services

42 U.S.C. 9858c(c)(3)(B)(i), 98.16(ee)

a. Describe the strategies the Lead Agency or partners use to conduct outreach and provide services to eligible families with limited English proficiency: *Click or tap here to enter text.*

b. Describe the strategies the Lead Agency or partners use to conduct outreach and provide services to eligible families with a person(s) with a disability: *Click or tap here to enter text.*

2.4. Continuity of Care

2.4.1. Minimum 12-month eligibility

a. Does the Lead Agency certify that their policies or procedures provide a minimum 12-month eligibility period for each child at initial eligibility determination and redetermination?

42 U.S.C. 9858c(c)(2)(N)(i)(I), 98.21(a)(1), 98.16(h)(1)

☐ Yes, for initial determination and re-determination.

☐ Yes, for initial determination only.

☐ Yes, for redetermination only.

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

If a response other than "Yes, for initial determination and re-determination" is selected above, describe any circumstances in which a child would not receive a minimum 12-month eligibility period. *Click or tap here to enter text.*

b. When incorporating additional eligible children in the family size (e.g., siblings or foster siblings), does the Lead Agency ensure each child receives the minimum 12 months of eligibility?

42 U.S.C. 9858c(c)(2)(N)(i)(I), 98.21(a)(1), 98.16(h)(4)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. If no, describe: *Click or tap here to enter text.*

2.4.2. Temporary changes

Lead Agencies must provide a minimum of 12 months of eligibility regardless of temporary changes in the parent's work, training, or education status.

a. Does the Lead Agency certify that its definition of "temporary change" includes each of the minimum required elements?

42 U.S.C. 9858c(c)(2)(N)(i)(I), 98.21(a)(1)(ii), 98.16(h)(1)

Definition of "temporary change"	**Yes**	**No, the Lead Agency acknowledges that the state/territory is non-compliant. If no, describe:** *Click or tap here to enter text.*
i. 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.	☐	☐ *Click or tap here to enter text.*
ii. Any interruption in work for a seasonal worker who is not working between regular industry work seasons.	☐	☐ *Click or tap here to enter text.*
iii. Any student holiday or break for a parent participating in a training or educational program.	☐	☐ *Click or tap here to enter text.*
iv. Any reduction in work, training, or education hours, as long as the parent is still working or attending a training or educational program	☐	☐ *Click or tap here to enter text.*
v. Any cessation of work or attendance at a training or educational program not listed above that does not exceed three months, or a longer period of time established by the Lead Agency.	☐	☐ *Click or tap here to enter text.*
vi. Any change in age, including a child turning 13 years old during the minimum 12-month eligibility period.	☐	☐ *Click or tap here to enter text.*
vii. Any changes in residency within the state or territory.	☐	☐ *Click or tap here to enter text.*
viii. Does the Lead Agency certify that it does not impose time	☐	☐ *Click or tap here to enter text.*

Definition of "temporary change"	Yes	No, the Lead Agency acknowledges that the state/territory is non-compliant. If no, describe: *Click or tap here to enter text.*
limitations on the temporary statuses described in i. through iv.?		

2.4.3. Job search and continued assistance

a. Does the Lead Agency consider job search as an eligible activity at initial eligibility determination and/or at the minimum 12-month eligibility redetermination?

42 U.S.C. 9858c(c)(2)(N)(iii), 98.21(a)(2)(iii)

☐ No. The Lead Agency does not consider job search as an eligible activity at initial eligibility determination or redetermination.

☐ Yes. *If yes*, when do you consider job search as an eligible activity?

i. ☐ At initial eligibility determination

A. Describe the Lead Agency's policy: *Click or tap here to enter text.*

ii. ☐ At redetermination

A. Describe the Lead Agency's policy: *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 (permanent) loss or cessation of eligible activity?

42 U.S.C. 9858c(c)(2)(N)(iii), 98.21(a)(2)(i), 98.21(a)(2)(ii), 98.21(a)(2)(iii)

☐ Yes. The Lead Agency continues assistance.

☐ No, the Lead Agency discontinues assistance.

i. *If no*, describe the Lead Agency's policies for discontinuing assistance due to a parent's non-temporary change: *Click or tap here to enter text.*

ii. *If no*, describe what specific actions/changes trigger the job-search period after each such loss or cessation: *Click or tap here to enter text.*

iii. *If no*, 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.*

2.4.4. Discontinuing Assistance

a. 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:

42 U.S.C. 9858c(c)(2)(N)(iii), 98.21(a)(5)

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.*

B. Provide the number of attempts by the Lead Agency to contact the family and provider: *Click or tap here to enter text.*

iii. ☐ A change in residency outside of the state or territory.

A. Provide the Lead Agency's policy for a change in residency outside the state or territory: *Click or tap here to enter text.*

iv. ☐ Substantiated fraud or intentional program violations (IPV) 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.*

2.4.5. Reporting changes during the minimum 12-month eligibility period

a. Describe the Lead Agency's reporting requirements for families to notify the Lead Agency of changes in circumstances during a minimum 12-month eligibility period (not including during graduated phase-out).

42 U.S.C. 9858c(c)(2)(N)(i)(I), 98.16(h)(8), 98.21(h)(1), 98.21(h)(2), 98.21(h)(4)

Check all that apply below:

i. ☐ The Lead Agency requires reporting if the family's income exceeds 85 percent of SMI.

ii. ☐ The Lead Agency limits what families must report during the 12-month eligibility period (not including during graduated phase-out) to changes that impact a family's eligibility and those that enable the Lead Agency to contact the family or pay providers.

iii. ☐ The Lead Agency allows families the option to voluntarily report changes on an ongoing basis.

iv. ☐ Other. *If other*, describe other reporting requirements: *Click or tap here to enter text.*

b. How does the Lead Agency act on information voluntarily reported by families?

42 U.S.C. 9858c(c)(2)(N)(i)(I), 98.16(h)(8), 98.21(h)(4)

Check all that apply below:

i. ☐ The Lead Agency acts on information that benefits the family, such as information that would reduce the family's co-payment or increase the family's subsidy.

ii. ☐ The Lead Agency does not act on information that will reduce subsidy except if the information impacts the family's eligibility (e.g., family's income exceeds

85 percent SMI, or the family has experienced a non-temporary change in the work).

iii. ☐ The Lead Agency does not increase co-payments within the 12-month eligibility period outside of graduated phase-out.

iv. ☐ Other. *If other*, describe: *Click or tap here to enter text.*

2.4.6. Graduated phase-out of assistance at redetermination

a. Check and describe the option that best identifies the Lead Agency's policies and procedures regarding the graduated phase-out of assistance.

42 U.S.C. 9858c(c)(2)(N)(iv), 98.21(b), 98.21(b)(1), 98.21(b)(3), 98.16(h)(2)

☐ 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 2.5.1.)

☐ 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.*

i. ☐ Lead Agency adjusts 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. ☐ The Lead Agency requires additional reporting requirements during the graduated phase-out period.

If checked, describe: *Click or tap here to enter text.*

☐ The Lead Agency sets the second tier of eligibility at an amount lower than 85 percent of SMI for a family of the same size but above the Lead Agency's initial eligibility threshold.

If checked, provide the following information:

i. What is the income threshold (e.g., 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.*

ii. Does the second eligibility threshold take into account the typical household budget of a low-income family? ☐ Yes ☐ No

iii. Describe how the second eligibility threshold 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.*

iv. Describe how the second eligibility threshold reasonably allows a family to continue accessing child care services without unnecessary disruption: *Click or tap here to enter text.*

v. ☐ Lead Agency adjusts the family's co-pay during the graduated phase-out period. If checked, describe how co-payment for families under a graduated phase-out period are gradually adjusted: *Click or tap here to enter text.*

vi. ☐ Lead Agency requires additional reporting requirements during the graduated phase-out period. If checked, describe: *Click or tap here to enter text.*

2.5. Reducing Barriers to Family Enrollment

2.5.1. Eligibility practices to reduce barriers to initial enrollment

a. Does the Lead Agency implement any of the following eligibility practices to reduce barriers at the time of initial eligibility determination?

42 U.S.C. 9858c(c)(3)(B)(i), 98.21(f), 98.16(h)(10)

Check all that apply.

i. ☐ Establishing presumptive eligibility while eligibility is being determined (If checked, ensure all questions in 2.1.8 and 2.2.1 are completed)

ii. ☐ Leveraging eligibility from other public assistance programs

iii. ☐ Coordinating determinations for children in the same household

iv. ☐ Self-assessment screening tools for families

v. ☐ Extended office hours (evenings and/or weekends).

vi. ☐ Consultation available via phone.

vii. ☐ Offering an online application

viii. ☐ Other. Describe: *Click or tap here to enter text.*

2.5.2. Eligibility practices to reduce barriers at redetermination

a. Identify 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 redetermination of eligibility.

42 U.S.C. 9858c(c)(2)(N)(ii), 98.16(h)(6), 98.16(h)(7), 98.21(f), 98.21(g), 98.68(c)

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. ☐ Leveraging eligibility from other public assistance programs

ix. ☐ Other. Describe: *Click or tap here to enter text.*

2.5.3. Eligibility practices to reduce barriers for families receiving TANF assistance

Does the Lead Agency use different policies for families receiving TANF assistance at initial determination and/or at redetermination?

42 U.S.C. 9858c(c)(2)(N)(ii), 98.16(h)(6), 98.16(h)(7), 98.21(f), 98.21(g), 98.68(c)

☐ Yes. *If yes*, describe the policies: *Click or tap here to enter text.*

☐ No

3. Parental Choice

3.1. Provider Options for Parents

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

Lead Agencies must provide parents with a choice of providers and offer parents the choice of receiving child care services through a child care certificate (or voucher).

3.1.1. Parental Choice

a. Describe how the Lead Agency offers child care assistance through vouchers or certificates: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(A)(i)(II), 98.15(a)(2)(ii), 98.16(c), 98.16(q), 98.30(c)(1), 98.30(c)(2), 98.30(c)(6)

b. 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.*

42 U.S.C. 9858c(c)(2)(A)(ii), 98.15(a)(2), 98.16(c), 98.16(i)(2), 98.30(e)

c. Describe what information is communicated to parents and providers via the certificate and how it is connected to payment processes and systems: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(A)(iii), 98.15(a)(2)(ii), 98.16(c), 98.16(q), 98.30(c)(1), 98.30(c)(2), 98.30(c)(6)

d. Describe how the Lead Agency offers child care assistance through grants or contracts, if applicable: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(A)(i)(I), 98.15(a)(2), 98.15(a)(3), 98.16(c), 98.30(b), 98.50(a)(1)

e. 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.*

42 U.S.C. 9858c(c)(4)(A), 98.45(b)(1), 98.45(d)(2)(i)

3.2. Supply Building

3.2.1. Care in the child's home (in-home care)

a. The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use.

42 U.S.C 9858c(c)(A)(ii), 98.16(i)(2), 98.30(e)(1)(iii)

Will the Lead Agency limit the use of in-home care in any way?

☐ Yes

☐ No

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 in-home provider to meet the Fair Labor Standards Act (minimum wage) requirements. Describe: *Click or tap here to enter text.*

ii. ☐ Restricted based on the in-home 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.*

3.2.2. Child care supply shortages and strategies to increase the supply of child care

a. What child care supply shortages has the Lead Agency identified in the state/territory, including care for infants and toddlers, children with disabilities as defined by the Lead Agency, children who receive care during non-traditional hours, children in underserved geographic areas and foster children? Describe, including how the Lead Agency is using supply data to identify areas and age groups that are underserved: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(M), 98.16(x), 98.16(y), 98.45(b)(7), 98.45(k)(2), 98.45(k)(3)

b. For any identified gap in areas or age groups, what are the strategies the Lead Agency will take to address?

42 U.S.C. 9858c(c)(2)(M), 98.16(x), 98.16(y), 98.45(b)(7), 98.45(k)(2), 98.45(k)(3)

	Infants and Toddlers	Children with Disabilities	Underserved Geographic Areas	Non-Traditional Hours	Other populations
Differential Rates	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No If yes, describe: *Click or tap here to enter text.*
Grants or Contracts	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No If yes, describe: *Click or tap here to enter text.*
Other Strategy	☐ Yes ☐ No If yes, describe: *Click or tap here to enter text.*	☐ Yes ☐ No If yes, describe: *Click or tap here to enter text.*	☐ Yes ☐ No If yes, describe: *Click or tap here to enter text.*	☐ Yes ☐ No If yes, describe: *Click or tap here to enter text.*	☐ Yes ☐ No If yes, describe: *Click or tap here to enter text.*

3.3. Consumer Education

3.3.1. Parental Complaint Process

a. 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.*

42 U.S.C. 9858c(c)(2)(D), 98.15(b)(3), 98.16(c), 98.16(s), 98.32(a)

b. 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?

42 U.S.C. 9858c(c)(2)(D), 98.15(b)(3), 98.16(s), 98.32(d)(1)

☐ Yes. *If yes*, describe: *Click or tap here to enter text.*

☐ No

c. For substantiated parental complaints, how does the Lead Agency maintain the record for CCDF and non-CCDF providers? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(C), 98.15(b)(3), 98.16(c), 98.16(s), 98.32(b), 98.32(d)(2)

d. Describe how information about substantiated parental complaints is made available to the public; this information can include the consumer education website discussed in subsection 5.1.11: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(C), 98.15(b)(3), 98.16(c), 98.16(s), 98.32(c), 98.32(d)(2)

3.3.2. Website Requirements

Certify that the Lead Agency consumer education website includes all the required elements listed below and confirm or update the pre-populated direct URL/website link to each element as part of your certification:

42 U.S.C. 9858c(c)(2)(D), 42 U.S.C. 9858c(c)(2)(E), 42 U.S.C. 9858c(c)(5), 98.15(b)(4), 98.15(b)(5), 98.16(c), 98.16(j), 98.33(a)

The Lead Agency consumer education website includes:	Provide the link: (pre-populated)	Certify
a. A consumer-friendly and easily accessible website that ensures broad access to services for families who speak languages other than English and for persons with disabilities.	*Click or tap here to enter text.*	☐
b. How the Lead Agency licenses child care providers.	*Click or tap here to enter text.*	☐
c. The processes for conducting monitoring and inspections of child care providers.	*Click or tap here to enter text.*	☐
d. The offenses that prevent individuals from being employed by a child care provider.	*Click or tap here to enter text.*	☐
e. A list of all licensed providers searchable by ZIP code.	*Click or tap here to enter text.*	☐
f. Information on the quality of a provider through a Quality Rating and Improvement System or other transparent system of quality indicators if such information is available for the provider.		☐
g. Contact information for local Child Care Resource and Referral (CCRR) organizations (if applicable).	*Click or tap here to enter text.*	☐
h. Directions on how parents can contact the Lead Agency or its designee and other programs to help them understand information included on the website	*Click or tap here to enter text.*	☐
i. Sliding fee scale for parent co-payments, including the co-payment	*Click or tap here to enter text.*	☐

The Lead Agency consumer education website includes:	Provide the link: (pre-populated)	Certify
amount a family may expect to pay and policies for waiving co-payments.		
j. By provider category and licensing status, the aggregate number of serious injuries, deaths, and substantiated child abuse, and the total number of children in care.	Click or tap here to enter text.	☐
k. ☐ The Lead Agency cannot certify any items above. Describe: *Click or tap here to enter text.*		

3.3.3. Aggregate data on serious injuries, death, and substantiated abuse

a. Certify by providing:

i. The designated entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care. Include in the description 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 reporting aggregate data *Click or tap here to enter text.*

iii. The definition of "serious injury" used by the Lead Agency for reporting aggregate data: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(2)(C), 98.15(b)(5), 98.16(c), 98.16(gg,) 98.33(a)(5), 98.42(b)(4)

3.3.4. Information about CCDF and other programs availability and eligibility

Does the Lead Agency certify that it shares information with eligible parents, the general public, and child care providers about the availability of the full range of child care services to inform parental choice, including information about all of the following below?

- The availability of child care services provided through CCDF and other programs for which the family may be eligible
- Other programs for which families who receive assistance may also be eligible including:
    - 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.

- Research and best practices concerning children's development, information about meaningful parent and family engagement, and physical health and development, particularly healthy eating and physical activity.
- State policies 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.
- 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.

42 U.S.C. 9858c(c)(2)(E)(i)(I), 98.33(b)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

3.3.5. Consumer statement for parents receiving CCDF services

Does the Lead Agency provide to families a consumer statement that contains the required information about the provider they have selected, including the eight required elements below?

- CCDF Health and safety requirements met by the provider
- State/territory licensing or regulatory requirements met by the provider
- Date the provider was last inspected
- Any history of violations of health and safety, licensing, or regulatory requirements
- Any voluntary quality standards met by the provider
- How CCDF subsidies are designed to promote equal access
- How to submit a complaint through the hotline
- How to contact a local resource and referral agency or other community-based organization to receive assistance in finding and enrolling in quality child care

42 U.S.C. 9858c(c)(2)(D), 98.15(b)(4), 98.16(c), 98.16(j) 98.33(d)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

3.3.6. Information on developmental screenings

Does the Lead Agency certify that it provides information on developmental screenings to parents as part of the intake process and to providers through training and education, including:

- Information on existing resources and services available for conducting developmental screenings and providing referrals to services when appropriate, including the Early and Periodic Screening, Diagnosis, and Treatment program under the Medicaid program—carried out under Title XIX of the Social Security Act (42 U.S.C. 1396 et seq.)—and developmental screening services available under Part B, Section 619 and Part C of the Individuals with Disabilities Education Act (20 U.S.C. 1419, 1431 et seq.).

- A description of how families 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.

42 U.S.C. 9858c(c)(2)(E)(ii), 98.15(b)(4), 98.16(c), 98.33(c)(1), 98.33(c)(2)

☐ Yes. *If yes*, provide the link: *Click or tap here to enter text.*

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. *If no*, describe: *Click or tap here to enter text.*

3.3.7. Unlimited parental access to their children

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:

42 U.S.C. 9858c(c)(2)(B), 98.15(b)(2), 98.16(t)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

3.4. Subsidy Payment Rates

3.4.1. Completion of the market rate survey or ACF pre-approved alternative methodology

To establish subsidy payment rates that ensure equal access, Lead Agencies conduct either a (1) market rate survey (MRS), or (2) an ACF pre-approved alternative methodology, such as a cost estimation model. All Lead Agencies must analyze the cost of providing child care through a narrow cost analysis or pre-approved alternative methodology.

Note: Any Lead Agency considering using an alternative methodology instead of a market rate survey to set payment rates, is required under 45 CFR 98.45(c)(2)(ii) to submit a description of its proposed approach to OCC for pre-approval in advance of conducting the alternative methodology. 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

a. Did the Lead Agency 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 only one based on which methodology was used to determine your payment rates.

42 U.S.C. 9858c(c)(4)(B)(i), 98.16(r), 98.45(c), 98.45(d)(1), 98.45(e)

☐ Statistically valid and reliable market rate survey

☐ ACF pre-approved alternative methodology

b. Does the Lead Agency certify that it consulted with each of the following partners in the development and execution of the MRS or alternative methodology, as appropriate.

42 U.S.C. 9858c(c)(4)(B)(i), 98.16(r), 98.45(e)(1), 98.45(e)(2)

i. ☐ State Advisory Council or similar coordinating body

ii. ☐ Local child care program administrators

iii. ☐ Local child care resource and referral agencies

iv. ☐ Parent organizations

v. ☐ Organizations representing child care caregivers, teachers, and directors from all settings and serving all ages

c. When was the market rate survey or alternative methodology completed? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(i), 98.16(r), 98.45(c)

d. For Lead Agencies that use the market rate survey: Does the Lead Agency certify that the MRS is statistically valid and reliable, representative of the early childhood market, had a sufficient response rate, and that the survey was developed and carried out within 2 years of submission of this plan?

42 U.S.C. 9858c(c)(4)(B)(i), 98.16(r) 98.45(c), 98.45(d)(1), 98.45(e)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. *If no*, describe which component is missing. *Click or tap here to enter text.*

e. For Lead Agencies that use the market rate survey: Does the Lead Agency certify that the market rate survey data reflects variations in child care prices or cost of child care services in specific categories?

- Geographic area
- Type of provider
- Age of children
- Other key variations

42 U.S.C. 9858c(c)(4)(B)(i)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. *If no*, describe which category/ies is missing. *Click or tap here to enter text.*

f. For Lead Agencies that use the pre-approved alternative methodology, describe any major differences between the pre-approved methodology and the final methodology used to inform payment rates. *Click or tap here to enter text.*

g. For Lead Agencies that use the pre-approved alternative methodology, describe how it reflected:

42 U.S.C. 9858c(c)(4)(B)(i), 98.16(r), 98.45(c), 98.45(d)(1)

i. 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 or costs could be linked to local geographic areas. *Click or tap here to enter text.*

ii. 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.*

iii. Age of the child (e.g., infant, toddler, preschool, school-age): Click or tap here to enter text. Other key variations examined by the ACF pre-approved alternative methodology, such as quality level: *Click or tap here to enter text.*

iv. Other key variations examined by the ACF pre-approved alternative methodology, such as quality level: *Click or tap here to enter text.*

3.4.2. Cost analysis

a. How did the Lead Agency conduct the required narrow cost analysis (e.g., a cost model, a cost study, existing data or data from the Provider Cost of Quality Calculator)? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(i), 98.16(r), 98.45(b)(3), 98.45(f)(1)(ii)(A)

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 compensation, staff training, etc.)? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(i), 98.45(f)(1)(ii)

c. Were there any relevant variations by geographic location, category of provider, or age of child in the narrow cost analysis? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(i), 98.16(r), 98.45(b)(3), 98.45(f)(1)(ii)(A)

d. What is the Lead Agency's definition of higher quality and what assumptions and data did the Lead Agency use to determine cost at its defined higher levels of quality (e.g., ratio, group size, staffing levels, staff compensation, professional development requirements)? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(i), 98.16(r), 98.45(b)(4), 98.45(f)(1)(ii)(B), 98.45(f)(2)(iii)

e. Did the Lead Agency implement 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.*

42 U.S.C. 9858c(c)(4)(B)(iii), 98.16(r), 98.45(b)(3), 98.45(b)(4), 98.45(f)(2)(ii), 98.45(f)(2)(iii)

3.4.3. Publicly available report on the cost and price of child care

a. Does the Lead Agency certify it prepared a detailed report containing the results of the MRS and Narrow Cost Analysis or ACF pre-approved alternative methodology and made it widely available no later than 30 days after completion?

42 U.S.C. 9858c(c)(4)(B)(ii), 98.16(r), 98.45(f)(1)

☐ Yes

☐ No

b. Provide a link to the website where the report is posted: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(ii), 98.16(r), 98.45(f)(1)

c. Describe how the Lead Agency considered partner views and comments while developing and conducting their MRS or pre-approval AM in the detailed report. Responses should include which partners were engaged and how partner input influenced the market rate survey or alternative methodology: *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(ii), 98.16(r), 98.45(f)(1)(iii), 98.45(f)(2)(iv)

3.4.4. Payment Rates

a. Are the Lead Agency payment rates in 3.4.5 set statewide by the Lead Agency?

42 U.S.C. 9858c(c)(4)(B)(iii), 98.45(f)(1)(iii), 98.16(i)(3), 98.16(r), 98.45(f)(2)(i)

☐ Yes

i. *If yes*, check if the Lead Agency:

☐ Sets the same payment rates for the entire state or territory.

☐ Sets different payment rates for different regions in the state or territory.

☐ No

i. *If no*, identify how many and which jurisdictions set their own payment rates: *Click or tap here to enter text.*

b. 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 3.5.1). *Click or tap here to enter text.*

3.4.5. Base payment rates

a. Provide the base payment rates in the table below.

If the Lead Agency completed a market rate survey (MRS), provide the percentiles based on the most recent MRS for the identified categories. If the Lead Agency sets different payment rates for different regions in the state or territory (and checked this in 3.4.4ai), provide the rates for the most populous region as well as the region with payment rates set at the lowest percentile. Percentiles are not required if the Lead Agency also conducted an ACF pre-approved alternative methodology but must be reported if the Lead Agency conducted an MRS only.

If the Lead Agency conducted an ACF pre-approved alternative methodology, provide the estimated cost of care for the identified categories, as well as the percentage of the cost of care covered by the established payment rate. If the Lead Agency sets different payment rates for different regions in the state or territory (and checked this in 3.4.4ai), provide the estimated cost of care and the percentage of the cost of care covered by the established payment rate for the most populous region as well as the region with rates established at the lowest percent of the cost of care.

42 U.S.C. 9858c(c)(4)(B)(iii), 98.16(r), 98.45(f)(2)(i)

Care Type	Base payment rate (specify unit, e.g., per day, per week, per month)	Full-Time Weekly Base Payment Rate	What is the percentile of the market rate? (MRS)	What is the 50th percentile of the market rate? (MRS)	What is the 75th percentile of the market rate? (MRS)	What is the estimated cost of care? (Alternative Methodology only)	What percent of the estimated cost of care is the rate? (Alternative Methodology only)
Center Care for Infants (6 months)	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*
Family Child Care for Infants (6 months)	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*
Center Care for Toddlers (18 months)	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*
Family Child Care for Toddlers (18 months)	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*
Center Care for Preschoolers (4 years)	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*
Family Child Care for Preschoolers (4 years)	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*
Center Care for School-Age (6 years)	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*
Family Child Care for School-Age (6 years)	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*

b. Does the Lead Agency certify that the percentiles reported in the table above are calculated based on their most recent MRS or ACF pre-approved Alternative Methodology?

42 U.S.C. 9858c(c)(4)(B)(iii), 98.16(r), 98.45(f)(2)(i)

☐ Yes

☐ No. *If no*, what is the year of the MRS or ACF pre-approved alternative methodology that the Lead Agency used? What is the rationale for not using the most recent MRS or ACF pre-approved alternative methodology? Describe: *Click or tap here to enter text.*

3.4.6. Tiered rates, differential rates, and add-ons

a. Has the Lead Agency established any additional payments beyond the base payment rates (e.g., tiered rates, differential rates, add-ons)?

42 U.S.C. 9858c(c)(4)(B)(iii), 98.16(r), 98.45(b)(7), 98.45(k)

☐ Yes

☐ No

If yes, answer the questions below:
Check all that apply:

i. ☐ Add-ons above the base rate (e.g., operational grants)

ii. ☐ 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.

iii. ☐ Differential rate for children with disabilities, as defined by the Lead Agency.

iv. ☐ Differential rate for children who receive care during nontraditional hours.

v. ☐ Differential rate for children in underserved geographic areas.

vi. ☐ Differential rate for children in foster care

vii. ☐ Other tiered or differential rates (e.g., protective services, quality factors, geographic areas, type of provider)

A. Describe the add-ons, differential and/or tiered rates checked above, including what they are, who is eligible to receive them, and how often are they paid: *Click or tap here to enter text.*

b. Does the Lead Agency limit provider payments to the maximum provider charge if the price the provider charges to private-pay families not participating in CCDF is below the Lead Agency's established payment rate?

42 U.S.C. 9858c(c)(4)(B)(iii), 98.16(r), 98.45(g)

☐ Yes. *If yes*, describe: *Click or tap here to enter text.*

☐ No

3.4.7. Establishing payment rates

Provide the Lead Agency's summary of facts showing how the Lead Agency determined that its payment rates ensure equal access:

a. How did the Lead Agency determine that the rates reported in 3.4.5. are adequate to meet health, safety, quality, and staffing requirements under CCDF? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(iii)(I), 98.45(b)(2), 98.45(b)(3), 98.45(f)(2)(i), 98.45(f)(2)(ii)

b. How did the Lead Agency use the MRS or ACF preapproved alternative methodology to inform rate setting? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(iii)(I), 98.16(r), 98.45(b)(2), 98.45(b)(3), 98.45(b)(4), 98.45(b)(8)

c. How did the Lead Agency account for the cost of higher quality while setting payment rates? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(iii)(II), 98.16(r), 98.45(b)(4)

d. Identify and describe any additional facts (not covered in responses to 5.2.5-5.2.7) that the Lead Agency considered in determining its payment rates to ensure equal access. *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(iii)(III), 98.16(r), 98.45(b)(8)

3.5. Affordability

3.5.1. Sliding fee scale

a. Is there a single statewide sliding fee scale?

42 U.S.C. 9858c(c)(5), 98.16(k), 98.21(a)(3), 98.45(b)(5), 98.45(l)(2), 98.50(a)(2)

☐ Yes

☐ No. *If no*, describe how the sliding fee scale is set: *Click or tap here to enter text.*

b. Provide the CCDF co-payments for eligible families in the table below for a family size of 3 and 4 for one child in care. If the sliding fee scale is not set statewide, complete the table for the most populous locality:

42 U.S.C. 9858c(c)(5), 98.16(k), 98.21(a)(3), 98.45(b)(5), 98.45(l)(2), 98.50(a)(2)

	A	B	C	D	E	F
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 (A)?**	**What percentage of income is the co-payment in (B)?**	**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 (D)?**	**What percentage of income is this co-payment in (E)?**
1	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*

	A	B	C	D	E	F
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 (A)?**	**What percentage of income is the co-payment in (B)?**	**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 (D)?**	**What percentage of income is this co-payment in (E)?**
2	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*
3	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*
4	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*	*Click or tap here to enter text.*

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

42 U.S.C. 9858c(c)(5), 98.16(k), 98.21(a)(3), 98.45(b)(5), 98.45(l)(2), 98.50(a)(2)

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

42 U.S.C. 9858c(c)(5), 98.16(k), 98.45(b)(5), 98.45(l)(2), 98.33(a)(8)

3.5.2. Family co-payment calculation

a. Does the Lead Agency certify that the sliding fee scale is always based on income and family size (regardless of how many different scales they may use) and does not create a barrier to families receiving assistance?

42 U.S.C. 9858c(c)(5), 98.16(k), 98.21(a)(3), 98.45(b)(5), 98.45(l)(2), 98.50(a)(2)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

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

42 U.S.C. 9858c(c)(5), 98.16(k), 98.45(l)(2)

☐ Yes

☐ No

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 Lead Agency). Describe: *Click or tap here to enter text.*

iii. ☐ Other. Describe: *Click or tap here to enter text.*

3.5.3. Charging additional amounts

a. 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?

42 U.S.C. 9858c(c)(5), 98.45(b)(5), 98.45(d)(2)(ii), 98.45(f)(1)(iv)

☐ Yes

☐ No

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 present 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.*

3.5.4. Waiving family co-payment

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

42 U.S.C. 9858c(c)(5), 98.16(k), 98.45(l)(4)

☐ No, the Lead Agency does not waive any family contributions/co-payments. (Skip to question 3.6.1.)

☐ Yes. *If yes*, identify and describe which family contributions/co-payments are waived.

i. ☐ Families with an income at or below 150% of the Federal Poverty Level for families of the same size.

ii. ☐ Families experiencing homelessness.

iii. ☐ Families with children with disabilities.

iv. ☐ Families enrolled in Head Start or Early Head Start.

v. ☐ Children in foster care or kinship care or otherwise receiving or needing to receive protective services. Describe the policy: *Click or tap here to enter text.*

vi. ☐ Families meeting other criteria established by the Lead Agency. Describe the policy: *Click or tap here to enter text.*

3.6. Payment Practices

3.6.1. Payment practices for providers

Certify by checking the appropriate boxes below that the Lead Agency has implemented the following required payment practices for all CCDF providers:

42 U.S.C. 9858c(c)(4)(B)(iv), 98.15(a)(8), 98.15(b)(12), 98.16(cc), , 98.45(m)(2)(i), 98.45(m)(2)(ii)

a. Ensure the timeliness of payments by either (Lead Agency to implement at least one of the following):

   i. ☐ Paying prospectively prior to the delivery of services.

   ii. ☐ Paying within no more than 21 calendar days of the receipt of a complete invoice for services.

b. To the extent practicable, support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by (Lead Agency to implement at least one of the following):

   i. ☐ Paying based on a child's enrollment rather than attendance.

   ii. ☐ Providing full payment if a child attends at least 85 percent of the authorized time.

   iii. ☐ Providing full payment if a child is absent for five or fewer days in a month.

   iv. ☐ Use an alternative approach. If selected, describe the approach and provide a justification for this approach. *Click or tap here to enter text.*

c. ☐ The Lead Agency pays on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time).

   i. *If not checked*, provide evidence that paying on a part-time or full-time basis is not generally accepted practice in state or territory: *Click or tap here to enter text.*

d. ☐ The Lead Agency pays for reasonable mandatory registration fees that the provider charges to private paying parents.

   i. *If not checked*, provide evidence that reasonable mandatory registration fees are not generally accepted practice in state or territory: *Click or tap here to enter text.*

e. ☐ The Lead Agency ensures that providers are paid in accordance with a written payment agreement or an authorization for services that includes, at a minimum, information regarding provider payment policies, including rates, schedules, any fees charged to providers, and the dispute-resolution process.

f. ☐ The Lead Agency provides prompt notice to providers regarding any changes to the family's eligibility status that could impact payments, and such a notice is sent no later than the day that the Lead Agency becomes aware that such a change will occur.

g. ☐ The Lead Agency has a timely appeal and resolution process for payment inaccuracies and disputes.

h. ☐ Other. Describe: *Click or tap here to enter text.*

3.6.2. Payment practices and parent choice

How do the Lead Agency's payment practices facilitate provider participation across the full range of provider categories? *Click or tap here to enter text.*

42 U.S.C. 9858c(c)(4)(B)(i), 98.15(b)(12), 98.16(c), 98.16(cc), 98.45(b)(6)

4. Health and Safety

This section addresses CCDF health and safety requirements, Lead Agency licensing requirements, and exemptions.

4.1. Categories of Care

4.1.1. Categories of care for CCDF eligible families

Confirm the CCDF categories of care that CCDF-eligible families may choose from, including those current or planned during the three-year Plan period. The Lead Agency's provider types have been pre-populated below based on previous records and mapped to the CCDF categories of care. Update the information as needed. *Note:* The information below will inform skip patterns in this section of the Plan.

42 U.S.C. 9858n(6), 42 U.S.C. 9858n(7), 98.2

Check if available	CCDF Plan Provider Category	Corresponding Lead Agency Provider Type	Includes Relative Care Providers?	Includes Out-of-school programs?	Includes Faith-based?
☐	Licensed center-based care		☐	☐	☐
☐	Licensed family child care		☐	☐	☐
☐	Licensed in-home care		☐	☐	☐
☐	License-exempt center-based care		☐	☐	☐
☐	License-exempt family child care		☐	☐	☐
☐	License-exempt in-home care		☐	☐	☐

4.2. Relative Care Providers

4.2.1. Exemptions for relative providers

a. Does the Lead Agency exempt any federally defined relative providers from licensing requirements, the CCDF health and safety standards, pre-service/orientation training, ongoing training, or inspections?

42 U.S.C. 9858c(c)(2)(F)(ii), 42 U.S.C. 9858n(6), 98.42(c), 98.16(l), 98.40(a)(2)(i), 98.40(a)(2)(iv)

☐ Yes

☐ No

i. *If yes,* which type of relatives do you exempt, and from what requirements (licensing requirements, CCDF health and safety standards, pre-service/orientation training, ongoing training, inspections) do you exempt them? *Click or tap here to enter text.*

4.2.2. Supports for relative providers

a. Does the Lead Agency have any specific support, partnerships, or training for relative providers?

42 U.S.C. 9858c(c)(2)(F)(ii), 42 U.S.C. 9858n(6), 98.42(c), 98.40(a)(2)(iv)

☐ Yes

☐ No

i. *If yes*, describe: *Click or tap here to enter text.*

4.3. Licensing Requirements

Each Lead Agency must ensure it has in effect licensing requirements applicable to all child care services provided within the state/territory (not restricted to providers receiving CCDF funds).

4.3.1. Providers subject to licensing

a. For each category of care listed below, describe the licensing requirements.

42 U.S.C. 9858c(c)(2)(F)(i), 98.15(b)(6), 98.16(c), 98.16(u), 98.40(a)(1), 98.40(a)(3)

i. Licensed center-based care: *Click or tap here to enter text.*

ii. Licensed family child care: *Click or tap here to enter text.*

iii. Licensed in-home care: *Click or tap here to enter text.*

4.3.2. CCDF-eligible providers exempt from licensing

Describe the types of exemptions for each category of CCDF-eligible provider exempt from licensing requirements and how these exemptions do not endanger the health, safety, and development of children. Relative providers, as defined in CCDF, were addressed in subsection 4.2.

42 U.S.C. 9858c(c)(2)(F)(ii), 98.16(u), 98.40(a)(2)

Provider Type	What are the types of 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?	How the Lead Agency ensures these exemptions do not endanger the health, safety, and development of children?
License-exempt center-based care.	*Click or tap here to enter text.*	*Click or tap here to enter text.*
License-exempt family child care.	*Click or tap here to enter text.*	*Click or tap here to enter text.*
License-exempt in-home care (care in the child's own home by a non-relative).	*Click or tap here to enter text.*	*Click or tap here to enter text.*

4.4. Pre-license Inspection

4.4.1. Pre-license inspections for CCDF licensed providers

a. Select all that apply:

42 U.S.C 9858c(c)(2)(K)(i)(II)(aa), 98.15(b)(10), 98.16(c), 98.16(n), 98.42(b)(2)(i), 98.42(b)(2)(iv)(A)

i. ☐ The Lead Agency certifies that they conduct pre-licensure inspections for all licensed providers.

ii. ☐ The Lead Agency certifies that pre-licensure inspections for all licensed providers assess compliance with health standards, safety standards, and fire standards.

iii. *If any of the above is not checked,* describe which licensed providers do not receive pre-licensure inspections or which required topics are not included in pre-licensure inspections. *Click or tap here to enter text.*

Sections 4.5 – 4.15

In these sections, the Lead Agency must certify for each health and safety topic if there are requirements for standards, pre-service or orientation training, and inspections in effect that apply to all child care providers that provide CCDF services. The same three sets of questions will be asked for each topic listed below.

Health and Safety Topics

4.5. Prevention and Control of Infectious Diseases (including immunizations)

4.6. SIDS and Safe Sleep

4.7. Administration of Medication

4.8. Prevention of and Response to Emergencies due to Food and Allergic Reactions

4.9. Building and Physical Premises Safety

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

4.11. Emergency Preparedness

4.12. Handling of Hazardous Materials and Disposal of Biocontaminants

4.13. Precautions in Transporting Children

4.14. Pediatric First Aid and CPR

4.15. Identification and Reporting of Child Abuse

4.X.1. Standard

42 U.S.C. 9858c(c)(2)(I)(i), 98.16(l), 98.41(a)(1)

a. Has the Lead Agency made changes since the last approved FFY2025-2027 Plan to the standards for *[health and safety topic]* for any provider types?

☐ Yes. Describe: *Click or tap here to enter text.*

☐ No

b. Certification of applicable standards for *[health and safety topic]*. Select one of two options:

☐ The Lead Agency certifies having standards for *[health and safety topic]* for all provider types.

☐ The Lead Agency acknowledges that the state/territory remains non-compliant related to standards for *[health and safety topic]*.

4.X.2. Pre-service or orientation training

a. Select all that apply:

42 U.S.C. 9858c(c)(2)(I)(i)(XI), 98.44(b)(1)(i), 98.15(a)(7), 98.16(c)

i. ☐ The Lead Agency certifies it requires pre-service or orientation training on this topic for all provider types.

ii. ☐ The Lead Agency certifies that all provider types' pre-service or orientation training on this topic covers all required aspects of *[health and safety topic]*.

iii. ☐ The Lead Agency certifies pre-service or orientation training on this topic is completed within 90 days for all provider types.

iv. ☐ *If any of the above is not checked*: The Lead Agency acknowledges that the state/territory remains non-compliant related to pre-service/orientation training for *[health and safety topic]*.

4.X.3. Inspection

a. Select all that apply:

42 U.S.C. 9858c(c)(2)(K)(i)(II), 98.42(b)(2), 98.15(b)(10), 98.16(n)

i. ☐ The Lead Agency certifies that *[health and safety topic]* is included in their annual unannounced inspections of all licensed providers.

ii. ☐ The Lead Agency certifies that *[health and safety topic]* is included in their annual inspection of all license-exempt providers.

iii. ☐ The Lead Agency certifies that inspection of *[health and safety topic]* covers all required aspects for all provider types.

iv. ☐ The Lead Agency certifies inspecting all provider types annually for the completion of pre-service or orientation training on this topic.

v. ☐ *If any of the above is not checked*: The Lead Agency acknowledges that the state/territory remains non-compliant related to *[health and safety topic]*.

Note: For Prevention and Control of Infectious Diseases (including immunizations), address the additional questions related to the grace period requirements.

4.5.4. Grace periods to comply with immunization and other health and safety requirements

42 U.S.C. 9858c(c)(2)(I)(i)(I), 98.41(a)(1)(i)(C)

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. Provide the policy for a grace period for children experiencing homelessness: *Click or tap here to enter text.*

ii. Provide the policy for a grace period for 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/territory public health agency?

☐ Yes.

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. *If no*, describe: *Click or tap here to enter text.*

c. Describe how the Lead Agency coordinates with licensing agencies and other relevant state/territory 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.*

d. Does the Lead Agency have a process for granting exemptions to immunization requirements?

☐ Yes. *If yes*, describe: *Click or tap here to enter text.*

☐ No

4.16. Child Development

4.16.1. Pre-service or Orientation Training: Child development including major domains of cognitive, social, emotional, physical development, and approaches to learning

a. Select all that apply:

42 U.S.C. 9858c(c)(2)(I)(i)(XI), 98.44(b)(1)(i), 98.15(a)(7), 98.16(c)

i. ☐ The Lead Agency certifies it requires pre-service or orientation **training** on this topic **for *all* provider types.**

ii. ☐ The Lead Agency certifies that all provider types' pre-service or orientation training on this topic **covers all required aspects** of child development including major domains of cognitive, social, emotional, physical development, and approaches to learning.

iii. ☐ The Lead Agency certifies pre-service or orientation **training** on this topic is **completed within 90 days for all provider types**.

iv. ☐ The Lead Agency certifies inspecting *all* provider types annually for the completion of pre-service or orientation training on this topic.

v. ☐ *If any of the above is not checked:* The Lead Agency acknowledges that the state/territory remains non-compliant related to pre-service/orientation **training** for child development.

4.17. Optional Standards

4.17.1. Additional optional standards

a. In addition to the required health and safety standards, does the Lead Agency require providers to meet any of the following optional standards?

42 U.S.C. 9858c(c)(2)(I)(ii), 98.16(l), 98.41(a)(1)(xii)

☐ Yes

☐ No. *If no*, skip to Section 4.18.

If yes, describe the standard(s).

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 to promote child development or to protect children's health and safety. Describe: *Click or tap here to enter text.*

4.18. Fire Standards

4.18.1. Inspection: Fire Standards

a. Select all that apply:

42 U.S.C. 9858c(c)(2)(K)(i)(II), 98.42(b)(2), 98.15(b)(10), 98.16(n)

i. ☐ The Lead Agency certifies that inspection of fire standards is included in their ***annual unannounced inspections of all licensed providers***.

ii. ☐ The Lead Agency certifies that inspection of fire standards is included in their ***annual inspection of all license-exempt providers***.

iii. ☐ *If any of the above is not checked:* The Lead Agency acknowledges that the state/territory remains non-compliant related to **inspections** of *fire standards*.

4.19. Ratios and Group Size

4.19.1. Age classifications

Describe how the Lead Agency defines the following age classifications (e.g., Infant: 0 – 18 months).

42 U.S.C. 9858c(c)(2)(H)(i), 98.16(m), 98.41(d)(1), 98.41(d)(2)

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.*

4.19.2. Ratios and group size limits

Provide the staff: child ratio and maximum group size limits for settings and age groups below.

42 U.S.C. 9858c(c)(2)(H)(i), 98.16(m), 98.41(d)(1), 98.41(d)(2)

a. Licensed center care:

i. Infant.
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

ii. Toddler.
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

iii. Preschool.
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

iv. School-Age.
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

v. Mixed-Age Groups (if applicable).
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

b. Are any of the responses above different for license-exempt center care?

☐ No. There are no differences in ratios and group size requirements.

☐ Yes. *If yes*, provide the ratio and group size requirements for license-exempt center care by age of children served.

i. Infant: *Click or tap here to enter text.*

ii. Toddler: *Click or tap here to enter text.*

iii. Preschool: *Click or tap here to enter text.*

iv. School-Age: *Click or tap here to enter text.*

v. Mixed-Age Groups: *Click or tap here to enter text.*

☐ Not applicable. The Lead Agency does not have license-exempt center care.

c. Licensed family child care:

i. Infant (if applicable)
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

ii. Toddler (if applicable)
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

iii. Preschool (if applicable)
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

iv. School-Age (if applicable)
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

v. Mixed-Age Groups
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

d. Are any of the responses above different for license-exempt family child care?

☐ 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.*

☐ Not applicable. The Lead Agency does not have license-exempt family child care.

e. Licensed in-home care (care in the child's own home):

i. Infant (if applicable)
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

ii. Toddler (if applicable)
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

iii. Preschool (if applicable)
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

iv. School-Age (if applicable)
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

v. Mixed-Age Groups
Ratio: *Click or tap here to enter text.*
Group size: *Click or tap here to enter text.*

f. Are any of the responses above different for license-exempt in-home care?

☐ No.

☐ Yes. *If yes*, describe how the ratio and group size requirements for license-exempt in-home care vary by age of children served. *Click or tap here to enter text.*

☐ Not applicable. The Lead Agency does not have license-exempt in-home care.

4.19.3. Inspection: Ratios and group size

a. Select all that apply:

42 U.S.C 9858c(c)(2)(K)(i)(II), 98.15(b)(10), 98.16(n), 98.42(b)(2)

i. ☐ The Lead Agency certifies that inspection of ratios and group size standards is included in their ***annual unannounced inspections of all licensed providers***.

ii. ☐ The Lead Agency certifies that inspection of ratios and group size standards is included in their ***annual inspection of all license-exempt providers***.

iii. ☐ *If any of the above is not checked:* The Lead Agency acknowledges that the state/territory remains non-compliant related to **inspections** of *ratios and group size standards.*

4.20. Teacher Qualifications

4.20.1. Teacher/caregiver qualifications in child care settings

a. Provide the teacher/caregiver qualifications for each category of care, including variations based on the ages of the children or number of staff employed.

42 U.S.C. 9858c(c)(2)(H)(i)(III), 98.16(m), 98.41(d)(3), 98.44(a)(4)

i. Licensed center care:

A. Teacher qualifications for licensed CCDF center-based care (e.g., degrees, credentials, etc.): *Click or tap here to enter text.*
B. Director qualification for licensed CCDF center-based care: *Click or tap here to enter text.*

ii. Licensed family child care: *Click or tap here to enter text.*

iii. Licensed in-home care (care in the child's own home by a non-relative): *Click or tap here to enter text.*

iv. License-exempt center care: *Click or tap here to enter text.*

v. License-exempt family child care: *Click or tap here to enter text.*

vi. License-exempt in-home care (care in the child's own home): *Click or tap here to enter text.*

4.21. Inspection of In-Home Care

4.21.1. Inspections for in-home child care providers

42 U.S.C. 9858c(c)(2)(K)(i)(II), 98.15(b)(10) 98.16(n) 98.42(b)(2), 98.42(b)(2)(iv)(B)

a. Does the Lead Agency conduct annual inspections of in-home child care providers for compliance with health and safety requirements?

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

☐ Not applicable. The Lead Agency limits in-home care to relative providers and the Lead Agency exempts relative providers from health and safety inspections.

b. *If yes*, does the Lead Agency use alternate monitoring requirements to inspect in-home child care providers that are appropriate to the setting?

☐ Yes

☐ No

☐ Not applicable. The Lead Agency limits in-home care to relative providers and the Lead Agency exempts relative providers from health and safety inspections.

If yes, Describe the requirements for the annual monitoring of CCDF 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 alternative monitoring procedures are used: *Click or tap here to enter text.*

4.22. Inspectors

4.22.1. Qualifications and training of licensing inspectors

Certify the Lead Agency ensures that licensing inspectors (or qualified inspectors designated by the Lead Agency) are qualified to inspect child care providers and facilities 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.

42 U.S.C. 9858c(c)(2)(K)(i)(I), 98.16(n), 98.42(b)(1)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

4.22.2. Ratio of licensing inspectors

Certify the Lead Agency ensures 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 are maintained at a level sufficient to enable the Lead Agency to conduct effective inspections of child care providers and facilities on a timely basis in accordance with federal, state, and local law.

42 U.S.C. 9858c(c)(2)(K)(i)(III), 98.16(n), 98.42(b)(3)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

4.22.3. Inspectors Oversight of Program Integrity

In addition to inspecting health and safety requirements, do inspectors review any other providers' or facilities' records (such as attendance records) to support program integrity related activities?

42 U.S.C. 9858c(c)(2)(K), 98.42(b)

☐ Yes. *If yes*, describe: *Click or tap here to enter text.*

☐ No

4.23. Posting Inspection Reports

4.23.1. Posting monitoring and inspection reports

Lead Agencies must post full monitoring and inspection reports that include areas of compliance and non-compliance on their consumer education website for each licensed child care provider (regardless of CCDF participation) and for each CCDF child care provider (licensed or license-exempt), except in cases where the provider is related to all the children in their care.

a. Does the Lead Agency certify posting ***pre-licensing*** inspection reports for all licensed programs?

42 U.S.C. 9858c(c)(2)(D), 98.15(b)(5), 98.16(c), 98.16(j), 98.33(a)(4)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

If no, check and describe for which provider types the Lead Agency does not post pre-licensing reports?

[List of licensed provider type options to select from will populate based on Lead Agency's provider types and a Describe box will be available for any provider type selected]

b. Does the Lead Agency certify posting full monitoring and inspection reports that include areas of compliance and non-compliance for all non-relative, licensed providers (regardless of CCDF participation) and for all license-exempt providers eligible to provide CCDF services?

42 U.S.C. 9858c(c)(2)(D), 98.15(b)(5), 98.16(c), 98.16(j), 98.33(a)(4)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

If no, check and describe for which required provider types the Lead Agency does not post full monitoring and inspection reports that include areas of compliance and non-compliance?

[List of provider type options to select from will populate based on Lead Agency's provider types and a Describe box will be available for any provider type selected]

c. Indicate if the monitoring and inspection reports and any related plain language summaries include:

42 U.S.C. 9858c(c)(2)(D), 98.15(b)(5), 98.16(c) 98.16(j), 98.33(a)(4)

i. Date of inspection: ☐ Yes ☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

If no, Describe: *Click or tap here to enter text.*

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

☐ Yes ☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

If no, Describe: *Click or tap here to enter text.*

iii. Health and safety violations, including those violations that resulted in fatalities or serious injuries occurring at the provider: ☐ Yes ☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

If no, Describe: *Click or tap here to enter text.*

iv. A minimum of 3 years of results, where available. ☐ Yes ☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

If no, Describe: *Click or tap here to enter text.*

d. Lead Agencies must post monitoring and inspection reports and any related plain language summaries in a timely manner according to the state/territory's timeline.

42 U.S.C. 9858c(c)(2)(D), 98.16(j), 98.33(a)(4)

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.*

e. Does the Lead Agency certify that the monitoring and inspection reports and/or the summaries are in plain language and are understandable to parents and other consumers?

42 U.S.C. 9858c(c)(2)(D), 98.16(j), 98.33(a)(4)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

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

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

42 U.S.C. 9858c(c)(2)(D), 98.16(j), 98.33(a)(4)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

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

4.24. Ongoing Training

4.24.1. Required ongoing training of health and safety standards

a. Describe any required ongoing training of health and safety standards for caregivers, teachers, and directors of the following CCDF-eligible provider types.

42 U.S.C. 9858c(c)(2)(I)(i)(XI), 98.15(a)(7), 98.16(c), 98.16(p), 98.44(b)(1)(i), 98.44(b)(1)(iii), 98.44(b)(2)(i)

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: *Click or tap here to enter text.*

iv. License-exempt family child care: *Click or tap here to enter text.*

v. Licensed in-home child care: *Click or tap here to enter text.*

vi. License-exempt in-home child care: *Click or tap here to enter text.*

4.24.2. Inspection: Ongoing training

42 U.S.C. 9858c(c)(2)(I)(i)(XI), 98.15(a)(7) 98.16(c) 98.16(p) 98.44(b)(2)(i)

a. Is completion of ongoing training inspected annually for all provider types?

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

If no: Which provider types are not inspected for completion of ongoing training? [List of provider type options to select from will populate based on Lead Agency's provider types] *Click or tap here to enter text.*

b. How does the Lead Agency ensure that providers are meeting annual ongoing training requirements? *Click or tap here to enter text.*

5. Comprehensive Background Checks

Sections 5.1. – 5.4.

In these sections, the Lead Agency must certify that the state/territory requires and conducts all background checks as required by the CCDBG Act for all child care staff members (including prospective staff members) for all licensed, regulated, and registered providers, regardless of CCDF participation, and for all other CCDF eligible providers (i.e., license-exempt providers) other than relatives. The same questions will be asked for each background check component listed below.

5.1. National FBI Criminal History Check with Fingerprints

5.1.1. National Federal Bureau of Investigation (FBI) criminal history check with fingerprints

42 U.S.C. 9858f(b)(4), 98.16(o), 98.43(b)(1), 98.42(b)(2)(i)(B), 98.43(a)

5.2. National NCIC NSOR Name-Based Check

5.2.1. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) name-based check

42 U.S.C. 9858f(b)(5), 98.16(o), 98.43(a)(1)(i), 98.43(b)(2), 98.42(b)(2)(i)(B), 98.43(a)

5.3. In-State Checks

5.3.1. In-state criminal history check with fingerprints

42 U.S.C. 9858f(b)(1), 98.16(o), 98.43(b)(3)(i), 98.43(b)(3)(i)(A), 98.42(b)(2)(i)(B), 98.43(a)

5.3.2. In-state sex offender registry (SOR) check

42 U.S.C. 9858f(b)(1), 98.16(o), 98.43(a)(1)(i), 98.43(b)(3)(ii), 98.42(b)(2)(i)(B), 98.43(a)

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

42 U.S.C. 9858f(b)(2), 98.16(o), 98.43(a)(1)(i), 98.43(b)(3)(iii), 98.42(b)(2)(i)(B) 98.43(a)

5.4. Interstate Checks

5.4.1. Interstate criminal history check

42 U.S.C. 9858f(b)(1), 98.16(o), 98.43(a)(1)(i), 98.43(b)(3)(i)(B), 98.42(b)(2)(i)(B) 98.43(a)

5.4.2. Interstate sex offender registry (SOR) check

42 U.S.C. 9858f(b)(1), 98.16(o), 98.43(a)(1)(i), 98.43(b)(3)(ii), 98.42(b)(2)(i)(B) 98.43(a)

5.4.3. Interstate child abuse and neglect (CAN) registry check

42 U.S.C. 9858f(b)(2), 98.16(o), 98.43(a)(1)(i), 98.43(b)(3)(iii), 98.42(b)(2)(i)(B) 98.43(a)

a. Does the Lead Agency certify that the state/territory requires and conducts the ***[background check component]*** as required by the CCDBG Act for all child care staff members (including prospective staff members) for all licensed, regulated, and registered providers, regardless of CCDF participation, and for all other CCDF eligible providers (i.e., license-exempt providers) other than relatives?

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. If no, describe any categories of child care providers (licensed, regulated, license-exempt CCDF eligible providers) for whom you do not conduct the ***[background check component]***. *Click or tap here to enter text.*

If yes, answer the following questions.

i. Does the Lead Agency certify that the state/territory conducts this check for all child care staff less than 18 years of age?

☐ Yes

☐ No

☐ Not applicable. Describe: *Click or tap here to enter text.*

ii. Does the Lead Agency certify that the state/territory conducts this check for all individuals age 18 or older who reside in a family child care home?

☐ Yes

☐ No

☐ Not applicable. *Click or tap here to enter text.*

iii. Does the Lead Agency certify that the state/territory conducts this check for all existing staff (including any staff backlogs)?

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

5.5. Five-year renewal

5.5.1. Renewal of the comprehensive background check

a. The Lead Agency certifies that the state/territory requires and conducts each background check component as required by the CCDBG Act for all child care staff members (including prospective staff members) for all licensed, regulated, and registered providers, regardless of CCDF participation, and CCDF eligible providers (license-exempt) other than relatives as part of the comprehensive background check at least every five years. By certifying below, each background check component is required and conducted in accordance with what the Lead Agency reported in 5.1-5.4.

42 U.S.C. 9858f(d)(2)(B), 42 U.S.C. 9858f(d)(3)(B), 42 U.S.C. 9858f(d)(4)(A)(i), 98.16(o), 98.43(a)(1)(i), 98.43(d)(3)(i)(A)

i. ☐ National Federal Bureau of Investigation (FBI) criminal history check with fingerprints

ii. ☐ National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) name-based check

iii. ☐ In-state criminal history with fingerprints

iv. ☐ In-state sex-offender registry (SOR) check

v. ☐ In-state child abuse and neglect (CAN) registry check

vi. ☐ Interstate criminal history check

vii. ☐ Interstate sex offender registry (SOR) registry check

viii. ☐ Interstate child abuse and neglect (CAN)

If not all are selected, describe: *Click or tap here to enter text.*

5.6. Disqualifications for Employment

5.6.1. Disqualifications for child care employment

Does the Lead Agency certify that the state/territory disqualifies child care staff members (including prospective staff members) from child care employment based on required CCDF disqualifying criteria?

42 U.S.C. 9859f(c)(1), 98.16(o), 98.43(a)(1)(ii), 98.43(c)(1), 98.43(h)(1), 98.43(h)(2)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

5.7. Background Check Processes

5.7.1. Employment Eligibility Determinations

a. Does the Lead Agency certify that only authorized state agen(cies) in the state/territory conduct the following checks for child care staff members?

42 U.S.C. 9858f(b), 42 U.S.C. 9858f(d)(1), 98.43(a)(1)(i)

Background check	**Yes**	**No, the Lead Agency acknowledges that the state/territory is non-compliant. Describe:** *Click or tap here to enter text.*
i. ☐ National Federal Bureau of Investigation (FBI) criminal history check with fingerprints	☐	*Click or tap here to enter text.*
ii. ☐ National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) name-based check	☐	*Click or tap here to enter text.*
iii. ☐ In-state criminal history check with fingerprints	☐	*Click or tap here to enter text.*
iv. ☐ In-state sex offender registry (SOR) check)	☐	*Click or tap here to enter text.*
v. ☐ In-state child abuse and neglect (CAN) registry check	☐	*Click or tap here to enter text.*
vi. ☐ Interstate criminal history check	☐	*Click or tap here to enter text.*
vii. ☐ Interstate Sex Offender Registry (SOR) check	☐	*Click or tap here to enter text.*
viii. ☐ Interstate child abuse and neglect (CAN) registry check	☐	*Click or tap here to enter text.*

If not all are selected, describe: *Click or tap here to enter text.*

b. Does the Lead Agency certify that the state/territory makes the final eligibility determination for all child care staff members (including prospective staff members)?

42 U.S.C. 9858f(b), 42 U.S.C. 9858f(d)(1), 98.43(a)(1)(i), 98.43(c)(1)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. Describe: *Click or tap here to enter text.*

c. Does the Lead Agency certify that the state/territory provides the results of the background check to the current or prospective staff member?

42 U.S.C. 9858f(b), 42 U.S.C. 9858f(d)(1), 98.43(e)(2)(ii)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. Describe: *Click or tap here to enter text.*

d. Does the Lead Agency certify that the state/territory provides the results of the background check to the provider in a statement that indicates whether the child care staff member is eligible or ineligible for employment?

42 U.S.C. 9858f(b), 42 U.S.C. 9858f(d)(1), 98.43(e)(2)(i)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. Describe: *Click or tap here to enter text.*

5.7.2. Privacy

a. Does the Lead Agency certify that only authorized state/territory agencies in the state/territory review background check component results?

42 U.S.C. 9858f(e)(2)(A), 98.16(o), 98.43(e)(2)(i)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. Describe: *Click or tap here to enter text.*

b. Does the Lead Agency certify that the state/territory ensures the privacy of child care staff members (including prospective child care staff members) by providing a statement of employment eligibility without revealing any disqualifying crime or other related information regarding the individual?

42 U.S.C. 9858f(e)(2)(A), 98.16(o), 98.43(e)(2), 98.43(e)(2)(i), 98.43(e)(2)(iii)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant. *If no*, describe the current process of notification: *Click or tap here to enter text.*

5.7.3. Appeals processes for background checks

a. When a child care staff member is ineligible for employment due to the background check, does the Lead Agency certify that the state/territory has an appeal process that:

42 U.S.C. 9858f(e)(3)(B)(i), 42 U.S.C. 9858f(e)(3)(B)(ii), 42 U.S.C. 9858f(e)(3)(B)(iii), 42 U.S.C. 9858f(e)(4), 98.16(o), 98.43(e)(2)(ii), 98.43(e)(3)(ii), 98.43(e)(3)(iii), 98.43(e)(3)(iv), 98.43(e)(3)(v)

i. Provides the affected individual with information related to each disqualifying crime in a report, along with information/notice on the opportunity to appeal.

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

ii. Provides 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.

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

iii. Ensures the Lead Agency 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.

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

iv. Gets completed in a timely manner.

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

v. Ensures the affected individual receives written notice of the decision. And in the case of a negative determination, the decision must indicate (1) the Lead Agency'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/territory records at issue in the case.

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

5.7.4. Consumer education website links to background check processes

a. Provide the direct URL/website link(s) that contains 1) Policies and procedures related to background checks for child care providers; and 2) instructions on how child care providers and other states and territories should initiate background check requests for prospective and current child care staff members: *Click or tap here to enter text.*

42 U.S.C. 9858f(g), 98.15(b)(4), 98.16(c), 98.16(j), 98.33(a)(1)(iii), 98.43(g)

b. Does the website link(s) include all background check-related policies and procedures pertaining to your state or territory?

42 U.S.C. 9858f(g), 98.15(b)(4), 98.16(c), 98.16(j), 98.33(a)(1)(iii), 98.43(g)

☐ Yes

☐ No. *If no,* describe any elements (e.g., instructions, forms, fees) that are not yet on the website. *Click or tap here to enter text.*

5.7.5. Background check fees

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

42 U.S.C. 9858f(f), 98.16(o) 98.43(f)

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

5.7.6. Completing the comprehensive background check within a 45-day timeframe

Does the Lead Agency ensure background checks are completed within 45 days of the provider's request?

42 U.S.C. 9858f(e)(1), 98.16(o), 98.43(a)(1)(i), 98.43(b)(3), 98.43(e)(1), 98.43(e)(2), 98.43(e)(4)

☐ Yes.

☐ 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.*

5.7.7. Responses to interstate background check requests

a. Does your state/territory respond to interstate background check requests from other states/territories/tribes?

42 U.S.C. 9858f(d)(4)(C), 98.16(o), 98.43(d)(3)(iii)

☐ Yes. (i.e. state/territory/tribe has policies in place and responds)

i. Does your state/territory respond to requests from other states/territories/tribes within the required 45-day timeframe?

☐ Yes.

☐ No, Describe. *Click or tap here to enter text.*

☐ No, we do not respond.

☐ No, the state/territory/tribe has a law or policy preventing a response to interstate criminal history requests. Describe. *Click or tap here to enter text.*

5.7.8. Completing the comprehensive background check for providers separated from employment

Does the Lead Agency ensure providers who are separated from employment for more than 180 consecutive days receive a new comprehensive background check?

42 U.S.C. 9858f(d)(4)(C), 98.16(o), 98.43(d)(3)(iii)

☐ Yes. Describe the state or territory's procedure. *Click or tap here to enter text.*

☐ No.

5.8. Provisional Hire

5.8.1. Provisional hiring of prospective staff members

a. Does the Lead Agency allow prospective staff members to work provisionally?

42 U.S.C. 9858f(b)(4), 42 U.S.C. 9858f(b)(1), 98.43(d)(4)

☐ Yes

☐ No

If yes, answer the following questions:

i. Does the Lead Agency certify that the state/territory requires a qualifying result from the FBI fingerprint check or in-state criminal history check with fingerprints as required by CCDBG before a provisional hire begins work with children?

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

ii. Does the Lead Agency certify that the state/territory requires a provisional hire to be supervised by staff with a qualifying result for the comprehensive background check as required by CCDBG while awaiting results from all components of the comprehensive background check?

☐ Yes

☐ No, the Lead Agency acknowledges that the state/territory is non-compliant.

5.9. Exemptions for Relative Providers

5.9.1. Background checks exemptions for relative providers

Does the Lead Agency exempt any relative providers (as defined by CCDF regulations) from background checks?

42 U.S.C. 9858f(i)(1)(A), 42 U.S.C. 9858f(i)(2), 98.16(o), 98.43(a)(2)

☐ No

☐ Yes. *If yes*, which type of relatives do you exempt, and from what background check requirements) do you exempt them? *Click or tap here to enter text.*