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Through this information collection, ACF is gathering data on the Tribal Lead Agency's grant program to understand the design and effectiveness of the program and to inform technical assistance needs. Public reporting burden for this collection of information is estimated to average 120 hours per response for Part I (for all Tribal Lead Agencies) and 24 hours per response for Part II (for medium and large Tribal Lead Agencies), including the time for reviewing instructions, gathering and maintaining the data needed, reviewing the collection of information. This collection of information is required to retain a benefit (Pub. L. 105-285, section 680(b) as amended). An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information subject to the requirements of the Paperwork Reduction Act of 1995, unless it displays a currently valid Office of Management and Budget (OMB) control number. The OMB # is 0970-0198 and the expiration date is 04/30/2025. If you have any comments on this collection of information, please contact Meryl Barofsky, Office of Child Care, by email at [Meryl.Barofsky@acf.hhs.gov](mailto:Meryl.Barofsky@acf.hhs.gov).



## **Child Care and Development Fund for Tribal Lead Agency: Arctic Slope Native Association**

*FFY 2023–2025*

*Plan Status: Approved as of 2023-05-24 20:57:43 GMT*

This Plan describes the Child Care and Development Fund (CCDF) program to be administered by the Tribal Lead Agency for the period from 5/1/2023 to 9/30/2025. As provided for in the applicable statutes and regulations, the Tribal Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described herein.

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

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## Introduction and How To Approach Plan Development

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

In September 2016, the CCDF Final Rule was released outlining the regulatory requirements for the CCDF program based on the CCDBG Act of 2014. The CCDF program requirements protect the health and safety of children in child care; help families make informed consumer choices and access information to support child development; provide equal access to stable child care for low-income children; and enhance the quality of child care and the early childhood workforce.

Tribal flexibility includes tiered requirements based on the size of their allocation: Tribal Lead Agencies with small, medium, and large allocations. The CCDF Final Rule exempts *Tribal Lead Agencies with small allocations* (less than \$250,000 in fiscal year [FY] 2016) from the majority of the CCDF program requirements, allowing those Tribal Lead Agencies more flexibility in how to spend their CCDF program funds and how to focus those funds on health and safety and quality activities. *Tribal Lead Agencies with small allocations* must spend their CCDF program funds in alignment with the goals and purposes of the CCDF program and must comply with the health and safety, monitoring, background checks, and quality spending requirements. To align with these limited CCDF program requirements, *Tribal Lead Agencies with small allocations* will complete an abbreviated CCDF Plan. This approach balances increased flexibility with accountability, and allows *Tribal Lead Agencies with small allocations* to spend their CCDF program funds in ways that would most benefit their communities.

The CCDF Plan developed by Tribal Lead Agencies is the primary mechanism that the Administration for Children and Families (ACF) uses to determine Tribal Lead Agency compliance with the requirements of the law and Final Rule. This CCDF Plan Preprint consists of two parts, which are aligned with the flexibilities that Tribal Lead Agencies have based on the size of their CCDF allocation.

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

- 1) Define CCDF Leadership and Coordination With Relevant Systems
- 2) Establish Standards and Monitoring Processes To Ensure the Health and Safety of Child Care Settings
- 3) Supporting Continuous Quality Improvement
- 4) *Tribal Lead Agencies With Small Allocations*: Direct Services.

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

- 5) Provide Stable Child Care Financial Assistance to Families
- 6) Ensure Equal Access to Quality Child Care for Low-Income Children
- 7) Promote Family Engagement Through Outreach and Consumer Education.

These sections reflect key functions of an integrated system of child care for low-income working families. The intention is that Tribal Lead Agencies and the Federal Government will be able to use this information to track and assess progress, determine the need for technical assistance (TA), and determine compliance with specific requirements and deadlines.

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

Note: All requirements not fully implemented in accordance with CCDF regulations are subject to compliance actions, such as corrective actions and/or penalties.

Tribal Lead Agencies are encouraged to access additional guidance for their CCDF Plans through:

- [Tribal Child Care and Development Fund: Guide for New Administrators](#)
- [CCDF Final Rule: Overview for American Indian and Alaska Native Grantees](#)
- [Child Care and Development Fund Final Rule Tribal Fact Sheet](#)

Additional questions should be directed to the OCC Regional Office.

# 1 Define CCDF Leadership and Coordination With Relevant Systems

This section provides information on how the CCDF program is administered, including the designated Tribal Lead Agency and administrative structure. It also addresses who was consulted in the development of the Tribal CCDF Plan and how the Tribal Lead Agency plans to coordinate CCDF services with other entities.

## 1.1 Tribal CCDF Applicant

### 1.1.1 Tribal Applicant?

#### 1.1.1.1 Tribe or Tribal Consortium Information:

Official name of the federally recognized Tribe as listed in the *Federal Register* or Tribal Consortium:

**Arctic Slope Native Association**

Name of Tribal Chair, President, or Leader: **Martha Monnin**

Title: **President/CEO**

Address: **PO Box 1232**

City, State, ZIP Code: **Utqiagvik, Alaska, 99723**

Telephone number: **9078524611** Ext:

Email address: **martha.monnin@arcticslope.org**

### 1.1.2 Tribal Consortium

Tribal Consortiums refer to a partnership between two or more Tribal governments authorized by the governing bodies of those Tribes to allow the Tribal Consortium to apply for and receive funding on behalf of the member Tribes.

#### 1.1.2.1 Are you a Tribal Consortium?

No (Skip to Section 1.2)

Yes

#### 1.1.2.2 Participating Member Tribes/Alaska Native Villages

Provide a comprehensive list of the participating member Tribes/Alaska Native villages and include demonstrations from the consortium's participating Tribes indicating that the consortium has the authority to seek funding on their behalf. Each consortium member must provide a demonstration every three years for the consortium Lead Agency to include with the plan submission. The purpose of the demonstration is to show that the member has authorized the consortium Lead Agency to act on its behalf.

Examples of demonstrations include a Tribal Resolution, a letter signed by the current Tribal Leader, or another official document from the Tribal/village government (98.80(c)(1-4); 98.81(b)(8)(i)).

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

Confirm the consortium members:

Consortium Member	Demonstration Letter for Each Consortium Member (attach letter)
Native Village of Barrow	Document was provided by TLA
Anaktuvuk Pass	Document was provided by TLA
Atqasuk	Document was provided by TLA
Kaktovik	Document was provided by TLA
Nuiqsut	Document was provided by TLA
Point Hope	Document was provided by TLA
Point Lay	Document was provided by TLA
Wainwright	Document was provided by TLA

\*\*\*The CARS system will prepopulate consortium members from FY 2020 child count. Tribal Lead Agency should confirm each tribe listed is currently a member and update with any changes.

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

1.1.2.3 Coordinated Services on behalf of participating member Tribes/Villages

A Tribal Consortium must describe how it coordinates services on behalf of each of its participating member Tribes/villages.

Summarize how the consortium is coordinating services (including direct services) on behalf of each participating member (98.81(b)(8)(ii); 98.83(c)(1)).

Describe how child care services are provided to each member of a Tribe/village: **Arctic Slope Native Association (ASNA), a Tribal Consortia created by and for eight federally recognized tribes in the State of Alaska, is dedicated to the cause of self-determination serving Atqasuk, Anaktuvuk Pass, Barrow, Nuiqsut, Kaktovik, Point Lay, Point Hope and Wainwright. Consultation with Tribal Leadership and**

Representatives is open and continuous through Village Outreach active efforts, participation in scheduling Tribal Council Meetings, City Council Meetings and ASNA Executive Leadership Meetings. ASNA Tribal Child Care Program is one of nine federal and state funded programs located within the Family Preservation and Development Division within the Social Services Department. The Division Manager is charged with administering these programs under the supervision of the ASNA Director of Social Services. The ASNA Social Services Department mission states- Our people reach their wellness goals, become self-sufficient, and care for each other. Our communities should be healthy, thriving places to live." How are childcare services delivered to the North Slope Villages? The ASNA Tribal Child Care Program overview and contact information are shared in the ASNA Website ([www.arcticslope.org](http://www.arcticslope.org)) and ASNA Social Services Booklet. ASNA also utilizes the ASNA Facebook pages to inform Tribal communities of any outreach that will be taking places.

ASNA is working with each of the Tribes to establish Child Care programs within their communities. Each tribal member, through their tribal leadership and elected member to the ASNA board, is able to help direct how the services in their communities might be provided. Native village of Barrow had historically sought to provide home based services to it's members and an MOA with that entity had been pursued for that purpose. Wainwright, Nuiqsut, and Pt Hope all wish to pursue a center-based approach which ASNA is assisting with. ASNA recognizes that there are significant challenges in establishing these facilities, but ASNA continues to work with the tribes in support of their efforts. In the interim, ASNA is providing home-based services in each of the communities.

## 1.2 Designated Tribal Lead Agency

The Tribe or Tribal Consortium will designate an agency to represent the Tribe/consortium as the Tribal Lead Agency. This designated agency agrees to administer the Tribal CCDF program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the attached assurances and certifications (658D; 658E(c)(1); 98.83(a)).

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

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

### 1.2.1 Designated Agency

#### 1.2.1.1 Designated Agency by the Tribe or Tribal Consortium

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

Name of Tribal Lead Agency: **Arctic Slope Native Association, LTD.**

Web address for Tribal Lead Agency (if any): **[www.arcticslope.org](http://www.arcticslope.org)**

### 1.2.2 Tribal CCDF Administrator



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

1.2.2.1 Contact information for the Tribal CCDF Administrator:

Name of Tribal CCDF Administrator: **Amanda Burnell**

Title: **Vice President of Administration**

Mailing address: **PO Box 1232**

Physical address (if different than mailing address): **7000 Uula Street**

Phone number: **9078524611** Ext: **358**

Cell phone number:

Email address: **amanda.burnell@arcticslope.org**

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

Name of Tribal CCDF Co-Administrator/Assistant Administrator: **Joshua Stein**

Title: **Director of Social Services**

Mailing address (if different from above):

Physical address (if different than mailing address):

Phone number: **9078529374** Ext:

Cell phone number:

Email address: **joshua.stein@arcticslope.org**

### 1.3 Administration Through Contracts or Agreements

The Tribal Lead Agency has broad authority to administer the CCDF program through contracts or agreements with other governmental, non-governmental, or other public or private local agencies. The Tribal Lead Agency remains the single point of contact and retains overall responsibility for the administration of the CCDF program (658D(b)(1)(A); 98.11(a)(3); 98.16(d)(1)). Examples of such agreements could include:

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

1.3.1 Direct Administration and Operation

#### 1.3.1.1 Administration and operation of the CCDF Program

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

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

Yes, the Tribal Lead Agency will directly administer and operate **all** aspects of the CCDF program. **Skip to 1.4.**

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

#### 1.3.1.2 Names of entities that will administer and/or operate aspects of the CCDF program

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

1. What processes will the Tribal Lead Agency use to monitor administrative and implementation responsibilities performed by other agencies? Describe:
2. Optional: Include copies of the contracts or agreements as Attachment #: Document was not provided by TLA

### 1.4 Consultation in the Development of the Tribal CCDF Plan

**In the development of the Tribal CCDF Plan, the Tribal Lead Agency is required to consult with representatives of general purpose local/ Tribal government (658D(b)(2); 98.10(c); 98.14(b)).** Tribal Lead Agencies are also required to conduct a public hearing to provide an opportunity to comment on the provision of the child care services under the CCDF Plan (98.14(c)). For the purposes of developing this Plan, consultation involves meeting with, or obtaining input from, appropriate representatives of the Tribal community.

#### 1.4.1 Consultation and Representation

##### 1.4.1.1 Entities Consulted by Tribal Lead Agency

Describe how the Tribal Lead Agency consulted with representatives of general purpose local and Tribal governments, and any other entities in the development of this plan. Describe: **ASNA staff members perform multiple outreach efforts during the course of the year. Part of these outreach efforts includes consultation with the tribal entities in each community. This plan is reviewed by ASNA's Board of Directors, whose members are appointed by each tribe in our consortium. As a result of these efforts, four of the seven communities have expressed interest in opening, or managing child care centers. ASNA CCDF program also met with Native Village of Barrow to discuss the CCDF programs, and how we will work together towards providing quality childcare services.**

#### 1.4.2 Public Hearings

Tribal Lead Agencies are required to conduct a public hearing to provide those interested with an opportunity to comment on the provision of child care services under the CCDF Plan (658D(b)(1)(C); 98.14(c)(1-3); 98.16(e)).

**The Tribal Lead Agency must conduct at least one public hearing prior to the submission of the Tribal CCDF Plan but no earlier than January 1, 2022. The Tribal Lead Agency must provide a notice of the hearing throughout the Tribe's service area.** This notice must be provided no later than 20 days prior to the date of the hearing. Tribal Lead Agencies must make the contents of the Plan available to the public in advance of the hearing.

Describe the Tribal Lead Agency's public hearing process by responding to the questions below:

1.4.2.1 Date(s) of public hearing notice(s) (at least 20 calendar days prior to the public hearing): **12/30/2022**

1.4.2.2 Date(s) of public hearing(s) (no earlier than January 1, 2022): 1/19/2023

1.4.2.3 Location(s)/ of the public hearing(s), including virtual: Public hearing will take place over teleconference, located at SSMH conference room.

1.4.2.4 How was the public notified of the public hearing? Check only those that apply:

Family newsletter

Tribal/local media

Internet—provide website(s):

Social media (e.g., Facebook, Twitter)

Posting on community bulletin board or some other message board

Other. Describe: **E-mailed flier to all village tribal offices.**

1.4.2.5 Input from the public hearing(s) in the development of the final Plan.

Describe how the input from the public hearing(s) was taken into consideration in the development of the final Plan:

No input was received

Input was incorporated into the plan in the following ways: **The Arctic Slope Native Association received input during the public hearing that was held on 01/19/2023. ASNA was able to incorporate the information into areas of our quality improvement of looking into having qualified CDA's for licensed childcare centers. We are also looking at our rates, and seeing how we can increase the rates for licensed childcare centers. This will be an area that we review through a community needs assessment that ASNA will be working on conducting over the next plan period.**

Other. Describe:

1.4.2.6 Content of the Plan available to the service area prior to the public hearing.

How was the content of the Plan made available throughout the service area prior to the public hearing? Check only those that apply:

Tribal offices (including CCDF offices)

Internet. Provide website(s):

Email

Other. Describe:

#### 1.4.3 Plan Availability to the Public

*Tribal Lead Agencies with small allocations* are not required to make the final CCDF Plan or any subsequent Plans available to the public but have the flexibility to describe if applicable.

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

##### 1.4.3.1 Final CCDF Plan and Plan Amendments available to the public.

Describe how the Tribal Lead Agency makes the final CCDF Plan and any subsequent Plan Amendments available to the public to the extent practicable: **This plan will be available to the general public via posting on ASNA's website. Additionally, any member of the public can contact our CCDF office at 907-852-9379 and speak with one of the CCDF Staff so they can assist them with reviewing or understand any amendments that happen with the CCDF Plan. A copy of the plan will be made available at request and located in a binder. Copies can also be mailed or e-mailed when requested.**

#### 1.5 Indian Child and Indian Reservation or Service Area (AUTO FILLED FROM APPENDIX 1 SUBMISSION)

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

##### 1.5.1 Indian Child

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

Although Tribal Lead Agencies have some flexibility in defining "Indian Child," the definition must be limited to children from federally recognized Indian Tribes, consistent with the CCDBG Act's definition of Indian Tribe (98.2).

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

- 1.5.1.1 The Tribal Lead Agency defines an "Indian child" as: The Tribal Lead Agency defines Indian child as: Demonstrate written proof of least one or more criteria: 1) Certification of American/Indian/Alaska Native Blood; 2) Descendant who is eligible for enrollment on a Federally Recognized Tribe; 3) BIA Certificate; 4) A Adopted child, foster child or a step child whose parents, step-parent or foster parent is a member of a federally recognized tribe.

##### 1.5.2 Indian Reservation or Service Area

Programs and activities are to be carried out for the benefit of Indian children living on or near the Indian reservation or service area. The service area must be within reasonably close geographic proximity to the

borders of a Tribe's reservation (except for Tribes in Alaska, California, and Oklahoma). Tribes that do not have reservations must establish service areas within reasonably close geographic proximity to the area where the Tribe's population resides.

There is an expectation that the Tribal Lead Agency will be able to provide services to families throughout the service area. ACF will not approve an entire state as a Tribe's service area. Tribal Lead Agencies can limit services within the reservation boundaries or go beyond the reservation boundaries.

If a Tribal Lead Agency establishes a different service area than the borders of the Tribe's reservation or existing service area for CCDF purposes, it must be within reasonably close geographic proximity (6580(c)(2)(B); 98.80(e); 98.81(b)(2)(ii); 98.81(b)(3)(ii); 98.83(b)); for example, "Permanent residence is within the reservation boundaries; however, the participant is temporarily attending school outside of the reservation area," or "[the participant] resides within 20 miles of the reservation boundaries."

1.5.2.1 The Tribal Lead Agency defines the Reservation/Service Area as: The Tribal Lead Agency defines the reservation or service area as: ASNA service area is approximately 89,000 square miles within the North Slope Borough, 10 miles surrounding the participating member Tribes ( Anaktuvuk Pass, Atkasuk, Barrow, Nuiqsut, Kaktovik, Point Lay, Point Hope and Wainwright) bordered on the south by the foothills of the Brooks Range, the Arctic Ocean on the north, Canada's Yukon Territory on the east and the Chukchi Sea on the west.

1.5.2.2 Optional: Attach a clearly labeled map of the service

Optional: In addition to the description above, a clearly labeled map of the service area is attached.  
Attachment #: **Document was provided by TLA**

## 1.6 Child Count

For the purposes of determining a Tribe/Tribal organization's annual CCDF program funding level, **the Tribal Lead Agency is required to conduct and submit a triennial child count of children younger than age 13**, as defined in 98.81(b)(2)(i). The Child Count Declaration will be submitted every 3 years with the triennial Plan. For the FY 2023 – FY 2025 Plan period, the child count must be submitted by July 1, 2022. For new Tribal Lead Agencies entering outside the Plan cycle, the child count will be submitted with their CCDF Plan.

The Tribal child count will be effective from October 1, 2022, to September 30, 2025, and will be valid for 3 years. If the consortium gains or loses one of its member organizations, then the adjustments will be made accordingly.

The Tribal Lead Agency may not count any children who are included in the child count of another CCDF Tribal Lead Agency. **The Tribal Lead Agency is required to confer with all other CCDF Tribal Lead Agencies that have overlapping or neighboring service areas** (98.61(c); 98.62(c); 98.80(b)(1); 98.81 (b)(4)).

The child count submitted is not reflective of the number of children who receive direct services. Instead, the child count gives the number of potentially eligible children who meet the Tribal Lead Agency's definition of Indian Child, and who reside in the designated service area.

Tribes that operate under an approved P.L. 102-477 Plan shall submit their triennial child counts of children younger than age 13 by July 1, 2022. The child counts will be effective from October 1, 2022, through September 30, 2025. Complete the “Child Count Declaration” at **Appendix 1-A**. The form also requests P.L. 102-477 Tribes that would like to make a request for reallocated Tribal discretionary funds to indicate that by checking “yes” or “no” if these funds become available.

### 1.6.1 Adjacent and Overlapping Service Areas

#### 1.6.1.1 Adjacent and Overlapping Service Area(s) of other Tribal Lead Agencies

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

No

Yes

Identify those other Tribal Lead Agencies with neighboring or overlapping service areas.  
Describe:

Describe the Tribal Lead Agency’s process for ensuring unduplicated child counts for this overlapping service area:

### 1.6.2 Child Count Declaration

#### 1.6.2.1 Complete the “Child Count Declaration” at **Appendix 1**.

A Tribal Consortium must submit an individual Child Count Declaration, signed by an individual authorized to act for the Tribe, for each participating Tribe; a summary listing the name of each participating Tribe; each participating Tribe’s individual child count; and the total child count for the entire consortium.

A “Child Count Declaration” is attached at **Appendix 1**.

## 1.7 Types of CCDF Providers

The Final Rule established three categories of care:

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

Tribal Lead Agencies have flexibility in the types of child care providers that offer direct care to families and children. For example, a Tribal Lead Agency may provide direct child care services through a Tribally Operated Center, or a Tribal Lead Agency with a small allocation may not offer direct services at all. In addition, Tribal Lead Agencies may choose to regulate child care providers through a state licensing agency rather than a Tribal agency.

### 1.7.1 Providers That Offer Direct Services

#### 1.7.1.1 Types of providers offering direct services to families and children.

Select the types of providers that offer services directly to families and children in the Tribal CCDF Program. The following list includes some variation in describing the types of direct service providers in the Tribal CCDF program, but additional sections will refer to the three categories of care. Check only those that apply:

- Tribally Operated Center(s)
- Tribally regulated (or licensed) center-based providers (not operated by the Tribal Lead Agency)
- Tribally regulated (or licensed) family child care providers
- State-licensed center-based providers
- State-licensed family child care providers
- License-exempt center-based providers
- License-exempt family child care providers
- Relative care providers over age 18
- In-home providers (care in the child's home)
- This Tribal Lead Agency does not offer direct services to families through the Tribal CCDF Program.  
(Only Tribal Lead Agencies with small allocations can opt to not offer direct services.)

## 1.8 Coordination of Services

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

### 1.8.1 Coordination of the delivery of CCDF services with state or Tribal agencies or entities.

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

#### 1.8.1.1 Coordination of the delivery of CCDF services with state or Tribal agencies or entities.

Describe the ways that the Tribal Lead Agency coordinates the delivery of CCDF services with the following state, and if applicable, Tribal agencies or entities, and the results of those coordination efforts (e.g., shared goals/purposes for coordination, the process for coordinating). Check and describe only those that apply:

- Public health, including the agency responsible for immunizations. Description/Results: **Families that apply for child care must provide a current copy of their child(ren)'s immunization records that show they are current on all required immunizations. These records may be obtained at no cost by the parent/legal guardian from the North Slope Borough Wellness Center or Samuel Simmonds Memorial Hospital. If the family does not follow state vaccination schedules for their children for they will need to submit either a Medical Exemption/Immunity Form or a Religious Exemption Form. CCDF staff will provide the form to parents if it is determined to be appropriate for their situation.**

- Employment services/workforce development. Description/Results: **CCDF Staff will coordinate with other within ASNA and local agencies. For parents who are seeking employment and need assistance, CCDF staff will help them make connections with the Employee Training Program through the North Slope Borough, which focuses on employment readiness skills and on the job training for various fields of employment.**
  
- Public education. Description/Results: **CCDF staff will coordinate with the North Slope Borough School District to ensure that families are provided with the education services needed for the child(ren). The NSBSD serves children starting at age 3 in the K-3 program. For children under the age of 3, ASNA CCDF Program Staff will work with families on identifying and referring children to the Alaska Center for Children and Adults, Infant Learning Program to ensure that children have equitable access to resources for child development and increase positive learning outcomes throughout childhood. CCDF Staff may assist providers and families with completing Bus Transportation Forms through the NSBSD to ensure that school aged children have transportation from their primary residence to school and then to the Child Care Provider's location after school. Parents of school aged children enrolled in the CCDF program should communicate with the provider on any expectations that the provider will assist the child in the completion of schoolwork/homework.**
  
- Temporary Assistance for Needy Families program. Description/Results: **ASNA CCDF staff refers clients to the State of Alaska Public Assistance Program. ASNA has State of Alaska Fee Agents located in the Samuel Simmonds Memorial Hospital. These fee agents also travel to all villages to assist clients with applying for Temporary Assistance, Food Stamps, Medicaid/Medicare and other low-income programs that the state may have available.**
  
- Child care licensing. Description/Results: **ASNA CCDF Staff will assist any provider that may be interested in gaining their State of Alaska Child Care License. ASNA CCDF staff will assist interested providers in completing the application process and in identifying, accessing, and completing the required training. ASNA CCDF staff will also assist providers in identifying and meeting any other requirements that may be necessary to successfully obtain the State of Alaska Child Care license.**
  
- Head Start. Description/Results:
  
- State Advisory Council on Early Childhood Education and Care or similar coordinating body. Description/Results:
  
- Statewide afterschool network or other coordinating entity for out-of-school time care (if applicable). Description/Results:
  
- Emergency management and response. Description/Results: **ASNA staff work to coordinate with the state and local emergency management entities and staff to ensure that they are able to inform providers and parents of any emergencies and to help in response and recovery efforts.**
  
- Child and Adult Care Food Program (CACFP) and other relevant nutrition programs. Description/Results: **The North Slope Borough has the Women, Infant and Children Program, where parents can go and apply for a WIC voucher through the electronic benefits card that will help them with baby formula, Baby Food, Milk, Cheese, Cereal, Eggs, Juice and Fruit. Parents may not exchange**



WIC or other public assistance with the provider for child care. The parents may give the WIC items to the provider to be used while caring for the specific child identified on the WIC benefits to ensure healthy and nutritious meals are being provided at the time of care.

[ ] 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. Description/Results:

[x] Agencies responsible for Medicaid and the State Children’s Health Insurance Program. Description/Results: **ASNA CCDF Staff refer clients to the State of Alaska Public Assistance Program. ASNA has State of Alaska Fee Agents located in the hospital; they also travel to all villages to assist clients with applying for Medicaid, Medicare, and Denali KidCare.**

[x] Mental health services. Description/Results: **Clients will be referred to North Slope Borough Integrated Behavioral Health Department (IBH) or other mental health services provider. IBH is where the client can receive mental health services. Any services that are not provided through Integrated Behavioral Health can be referred to other providers. Additionally, CCDF staff and providers will receive training in Suicide Question-Persuade-Refer to ensure that individuals who may be at risk for suicide are receiving the proper referrals for services. Providers will be encouraged to share concerns about mental health with the CCDF Staff so that supports may be provided to the family.**

**ASNA is also able to offer Mental Health Supports through the Behavioral Health Aide Program. ASNA Healthy Family Advocates support families, and children who may need referrals for behavioral health. The Family Advocate also supports the CCDF providers through trainings regarding mental health services and child development.**

[x] Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development. Description/Results: **ASNA CCDF refers providers to Thread Alaska, located in Anchorage, to help providers complete any training required to become a State of Alaska Licensed Child Care Provider. Iļisaġvik College also has a degree on Early Childhood Education, which is accessible for free to all residents of the North Slope Borough. Iļisaġvik College provides necessary classes for SOA Licensed Child Care Providers, such as CPR/First Aid. CCDF Staff will also provide in-person training to providers regarding CCDF Health and Safety Standards, and/or Pediatric CPR/First Aid training.**

[ ] Other agencies or entities with which the Tribal Lead Agency coordinates. Description/Results:

## 1.8.2 Underserved Populations

In determining the Tribal community’s child care needs, **Tribal Lead Agencies must include underserved populations**, such as infants and toddlers, families experiencing homelessness, children with special needs, and children in need of non-traditional hours of care.

### 1.8.2.1 Underserved populations in determining the Tribal community’s child care needs.

Which underserved populations are included in determining the Tribal community's child care needs?  
Check all that apply:

- Infants and toddlers
- Families experiencing homelessness
- Children with special needs
- Children in need of non-traditional hours of care
- Other. Describe:

### **1.9 Program Integrity and Accountability**

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

#### **1.9.1 Identify Improper Payments**

Tribal Lead Agencies are required to describe effective internal controls to identify improper payments through program policies and fiscal procedures.

##### **1.9.1.1 How does the Tribal Lead Agency prevent and identify improper payments?**

How does the Tribal Lead Agency prevent and identify improper payments? Check only those that apply:

- Train staff on CCDF policies and regulations.
- Conduct supervisory staff reviews or quality assurance reviews.
- Share data with other programs (e.g., state CCDF program, Tribal or state TANF program, Head Start, CACFP, other Tribal offices).
- Run system reports that flag errors.
- Review enrollment documents and attendance or billing records.
- Review provider records.
- Perform ongoing monitoring and assessment of policy implementation.
- Other. Describe:

##### **1.9.1.2 Investigating and collecting improper payments resulting from fraud**

The Tribal Lead Agency is required to recover improper payments that are the result of fraud. How does the Tribal Lead Agency investigate and collect improper payments resulting from fraud? Check only those that apply:

- Coordinate with and refer to other Tribal, state, or Federal agencies (e.g., Tribal Council, law enforcement).
- Require recovery if the improper payment exceeds a specific dollar amount. Identify the minimum dollar amount: \$
- Recover through repayment plans.
- Reduce payments in subsequent months.
- Recover through payroll deductions (i.e., for CCDF clients, providers, and staff employed by the Tribe).
- Other. Describe:

#### 1.9.1.3 Recovering improper payments from unintentional errors/program violations.

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

- No.
- Yes. How will the Tribal Lead Agency investigate and collect improper payments resulting from unintentional errors/program violations? Check only those that apply:
  - Coordinate with and refer to other Tribal, state, or Federal agencies (e.g., Tribal Council, law enforcement).
  - Require recovery if the improper payment exceeds a specific dollar amount. Identify the minimum dollar amount: \$
  - Recover through repayment plans.
  - Reduce payments in subsequent months.
  - Recover through payroll deductions (for CCDF clients, providers, and staff employed by the Tribe).
  - Other. Describe:

### 1.10 Disaster Preparedness and Response Plan

In past disasters, and in response to the coronavirus disease 2019 (COVID-19) pandemic, the provision of emergency child care services, and the process of rebuilding and restoring the child care infrastructure has emerged as an essential service. **Tribal Lead Agencies are required to establish a Child Care Disaster Plan for the Tribal Service Area** (658E(c)(2)(U); 98.16(aa)). They must describe how they will address the needs of children, including the need for safe child care before, during, and after a state of emergency declared by the Governor or Tribal Chief Executive or a major disaster or emergency (as defined by Section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5122).

### 1.10.1 Child Care Disaster Plan Coordination

#### 1.10.1.1 Child Care Disaster Plan developed in collaboration with appropriate stakeholders.

Describe how the Child Care Disaster Plan was developed in collaboration with the appropriate stakeholders, which may include other programs within the Tribal Lead Agency's governance structure or any other stakeholders identified by the Tribal Lead Agency: **The Child Care Disaster plan has been developed via consultation with the North Slope Borough, the North Slope Borough School District, and with the relevant staff at ASNA. The plan will be reviewed with Tribal Leadership, providers, and other stakeholders during the Public Comment period for the entire plan.**

### 1.10.2 Disaster Plan Guidelines for Child Care Subsidies and Child Care Services

#### 1.10.2.1 Child Care Disaster Plan with guidelines for child care subsidies/services.

Describe how the Child Care Disaster Plan includes the Tribal Lead Agency's guidelines for the continuation of child care subsidies and child care services, which may include the provision of emergency and temporary child care services during a disaster, and temporary operating standards for child care after a disaster: **ASNA, due to its role as the Tribal Health Organization for the region, offers a very secure and redundant system to ensure continuity of care. The main facility features its own water supply, power generation capability, as well as emergency supplies. Additionally, a second standalone campus is maintained that would allow for operations to continue in the event the primary campus was compromised. Data security efforts include offsite data storage at the secondary campus, outside our region and outside the state to ensure that operation can continue in the event of a disaster.**

**Should the entire community of Utqiagvik be affected, child care payments and subsidies would continue to be processed through the Anchorage office which is in the offices of our contracted vendors for payroll and payables processing. Childcare services would be continued to be provided as long as the homes of the providers continue to meet the safety standards. In the event that a portion or entirety of a community needed to be evacuated to the emergency shelters, all the childcare and family members would be at the same location, which in our communities is the school(s).**

### 1.10.3 Post-Disaster Recovery

#### 1.10.3.1 Procedures for coordination of post-disaster recovery of child care services.

Describe Tribal Lead Agency procedures for the coordination of the post-disaster recovery of child care services: **ASNA's Social Services department will work with federal, tribal and state entities to retain current care providers, determine what is required for them to continue providing services, and work with parents to ensure continuity in the delivery of services. During and immediately following any disaster, the ASNA Social Services Department will communicate with child care providers to:**

- a. Check on their well being.
- b. Ensure that all children that were in their care during the emergency are accounted for and safe.
- c. Determine if there are any childcare needs from first responders.
- d. If communication with the parents/guardians of any of the children in their care has occurred and

if reunification has begun or been successful. If not, does the child care provider need assistance with reunification.

e. Determine if the child care provider will be able to continue to provide child care while meeting safety and health requirements. If they have had to move to a relocation site? And what assistance they might need to resume providing services.

#### 1.10.4 Disaster Procedures

##### 1.10.4.1 Confirmation that providers' disaster procedures are in place.

Describe how the Tribal Lead Agency ensures that providers who receive CCDF program funds have the following procedures in place:

- evacuation;
- relocation;
- shelter-in-place;
- lockdown;
- communications with and reunification of families;
- continuity of operations;
- and accommodations for infants and toddlers, children with disabilities, and children with chronic medical conditions (98.41(a)(1)(vii)).

*(Note: The Tribal Lead Agency should also describe these requirements for CCDF providers in Section 2.1.2.7 Standards and Training Requirements for Emergency Preparedness and Response Planning.)*

**All providers will be trained in Emergency Preparedness and response requirements as part of their required orientation. Providers will be required to develop written plans and procedures addressing evacuation, relocation, shelter in place, and lock down processes. How communication with families will occur during and post emergency as well as reunification plans for each child in their care will be part of the written plans. Additionally, they will be trained in how to play their part in continuity of operations including who and how to contact ASNA's alternate work sites.**

**Providers will be provided with technical assistance in completing the plans and they will be checked for both completeness and accuracy during site visits.**

#### 1.10.5 Emergency Preparedness Training

##### 1.10.5.1 Provider emergency preparedness training and practice drills.

Describe how the Tribal Lead Agency requires child care staff and volunteers (for providers who receive CCDF program funds) to complete emergency preparedness training and practice drill procedures. *(Note: The Tribal Lead Agency should also describe these requirements for CCDF providers in Section 2.1.2.7 Standards and Training Requirements for Emergency Preparedness and Response Planning.)* **During providers mandatory orientation, the requirement to perform and participate in trainings, walk-throughs, and practice drills will be discussed. The form they will utilize to show compliance with monthly drills and procedures will be presented and made available. During site visits, these forms will be reviewed to ensure that the drills and trainings have occurred.**

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

Health and safety requirements apply to all Tribes regardless of allocation size and apply to all child care providers who receive CCDF program funds, including providers who only receive quality funds. **All Tribal Lead Agencies must certify that there are health and safety requirements applicable to providers serving CCDF children in effect.** These health and safety requirements must be appropriate to the provider setting (i.e., center-based child care including Tribally Operated Centers), family child care, or in-home child care) and age of the children served, must include specific topics and training on those topics, and are subject to monitoring and enforcement procedures to ensure that providers are complying with the requirements.

This section covers health and safety and comprehensive background checks requirements, including:

- Health and safety standards (98.41(a))
- Health and safety training (98.44(b))
- Monitoring and enforcement procedures to ensure that child care providers comply with health and safety requirements (98.16(n))
- Exemptions made for relative care providers over age 18 (98.16(l))
- Group size limits; child/staff ratios; and required qualifications for caregivers, teachers, and directors (98.16(m))
- Comprehensive background check requirements (98.16(o))

### 2.1 Overview of Health and Safety Standards and Monitoring

#### 2.1.1 Overview of health and safety standards and monitoring.

Use the tables below to describe the health and safety standards used by the Tribal Lead Agency for each provider type, and the agency responsible for monitoring and enforcing the health and safety standards.

Use the tables below to describe the health and safety standards and monitoring agency for each category of care offered.

- If the Tribal Lead Agency has developed its own standards (even if those standards were adapted from other sources, such as *Caring for Our Children: Basics and/or Minimum Health and Safety Standards: A Guide for American Indian and Alaskan Native Child Care and Development Fund Grantees* or state licensing standards), check “Tribal Standards.”
- If the Tribal Lead Agency requires providers to meet standards established by a state agency (such as state licensing agency or state department of education), check “State Standards.”

- If the Tribal Lead Agency requires providers to meet standards from more than one source (e.g., state licensing standards for off-reservation providers and tribally developed standards for providers on the reservation), check “Tribal Standards,” “State Standards,” and “Other Standards or Combination of Standards ” and describe which standards apply to which providers.
- If the Tribal Lead Agency requires providers to meet standards from a source not listed in the table (such as Indian Health Service, the Child and Adult Care Food Program, Caring for Our Children: Basics, and Caring for Our Children), then check “Other Standards or Combination of Standards” and describe the standards and the source(s) of the standards.
- If monitoring and inspection is conducted by an entity or agency other than the Tribal Lead Agency, such as the state licensing agency or the Indian Health Service, please indicate who conducts the visits and how the Tribal Lead Agency obtains the results of the monitoring. In cases where a combination of monitors/inspectors are used, check those that apply and provide a description.

#### 2.1.1.1 Health and Safety Standards Used by the Tribal Lead Agency

Note: Provider Categories are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services.

##### Provider Categories

###### Center-Based Child Care

Tribal Standards

State Standards

**State(s): State of Alaska**

Head Start/Early Head Start Standards

Other Standards or Combination of Standards (*e.g., describe how more than one set of standards selected above are combined*)

**Describe:**

###### Family Child Care

Tribal Standards

State Standards

**State(s): State of Alaska**

Head Start/Early Head Start Standards

Other Standards or Combination of Standards (*e.g., describe how more than one set of standards selected above are combined*)

**Describe: Licensed family childcare providers will follow the State standards and Tribally approved childcare providers will follow ASNA's standards.**

###### In-Home Care (in the child’s home)

Tribal Standards

State Standards

**State(s):**

- Head Start/Early Head Start Standards
- Other Standards or Combination of Standards (*e.g., describe how more than one set of standards selected above are combined*)

**Describe:**

#### 2.1.1.2 Health and Safety Monitoring Used by the Tribal Lead Agency

Note: Provider Categories are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services.

##### Provider Categories

Center-Based Child Care

- Tribal Monitoring

**Entity:**

- State Monitoring

**State(s): State of Alaska**

- Indian Health Services

- Other Monitoring (*e.g., describe how more than one monitoring agencies selected above are combined*)

**Describe:**

Family Child Care

- Tribal Monitoring

**Entity: ASNA**

- State Monitoring

**State(s): State of Alaska**

- Indian Health Services

- Other Monitoring (*e.g., describe how more than one monitoring agencies selected above are combined*)

**Describe:** Licensed family childcare providers will follow the State monitoring and Tribally approved childcare providers will follow ASNA's monitoring. ASNA will work with the State of Alaska licensing to attend any reviews of licensed child care facilities. ASNA will request the written copy of the monitoring results and file the report in the State of Alaska licensing binder for families to access and review.

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

- Tribal Monitoring

**Entity: ASNA**

- State Monitoring

**State(s):**

- Indian Health Services

- Other Monitoring (*e.g., describe how more than one monitoring agencies selected above are combined*)

**Describe:**

2.1.2 Tribal Lead Agencies that select only “state standards” and “state monitoring”



**Tribal CCDF programs that only use state-licensed providers for all provider types can skip detailed descriptions of the health and safety standards, training requirements, the health and safety monitoring, and enforcement policies and practices. Skip to 2.4.**

2.1.2.1 Optional: Tribal Lead Agencies that rely only on state health and safety standards and monitoring to regulate all provider types may provide web links to relevant state agency policies.

<https://health.alaska.gov/dpa/Pages/ccare/providers.aspx>

## **2.2 Health and Safety Standards and Training Requirements for CCDF Providers**

**Tribal Lead Agencies are required to establish health and safety standards for all types of child care programs (i.e., center-based child care, including Tribally Operated Centers, family child care, or in-home child care) serving children receiving CCDF assistance, relating to the topics listed below, as appropriate to the provider setting and age of the children served (98.41(a)).** This requirement is applicable to all child care providers receiving CCDF program funds, including those providers who are receiving only CCDF quality dollars through the Tribal Lead Agency. The only exception to this requirement is for providers over age 18 who are caring for their own relatives; Tribal Lead Agencies have the option to exempt relative care providers over age 18 from the health and safety requirements (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles (98.42(c))). This exemption applies only if the individual cares for relative children only. Exemptions for relative providers' standards and training requirements will be addressed in section 2.3.

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

**Tribal Lead Agencies must also have *ongoing training requirements* on the health and safety topics for caregivers, teachers, and directors of children receiving CCDF program funds (658E(c)(2)(l)(i); 98.44(b)(1)(iii)).** The Tribal Lead Agency must describe its requirements for pre-service/orientation training and ongoing training.

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

### **2.2.1 Health and Safety Standards**

Certify by describing how the following health and safety standards and ongoing training requirements for programs serving children receiving CCDF assistance are defined and established on the required topics (98.16(l)).

**Note:** Monitoring and enforcement will be addressed in subsection 2.2.

For each of the required health and safety topics, Tribal Lead Agencies must provide their definition and any variations based on the category of care (i.e., center-based child care, including Tribally Operated Centers, family child care, or in-home child care) and the ages of children served.

For example, Tribal Lead Agencies need to ensure that providers follow their safe-sleep practices for each age group in a center-based child care program. As such, Tribal Lead Agencies need to set standards around infant sleep practices (e.g., activities that prevent sudden infant death syndrome [SIDS]) and to ensure that providers who care for infants are trained on and met these standards. Likewise, Tribal Lead Agencies would set different safe-sleep standards for children of different ages (e.g., no safe-sleep practices for school-age children) and would ensure that providers who cared for children of other ages were aware of and met those standards.

#### 2.2.1.1 Prevention (including immunizations) and control of infectious diseases.

Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care or ages of the children served: **For all providers the standard is defined as prevention and control of infectious diseases and the following minimum standards are checked during on-site monitoring and inspections:**

1. Immunization
2. Hand Hygiene
3. Cleaning, sanitizing and disinfecting
4. Policy for inclusion/exclusion of children and staff due to communicable diseases and outbreak control.

Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care or ages of the children served.

Pre-service

Orientation within 3 months of hire

#### 2.2.1.2 Prevention of SIDS and the use of safe-sleep practices.

1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care or ages of the children served: **For all providers standard is defined as the prevention of sudden infant death syndrome (SIDS) and used of safe sleeping practices and the following minimum standards are checked during on-site monitoring and inspections:**
  1. Safe sleep environment and equipment.
  2. Safe sleep practices.
  3. Supervision.

#### 4. SIDS Risk reduction.

##### 2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care, or ages of the children served.

Pre-service

Orientation within 3 months of hire

##### 2.2.1.3 Administration of medication, consistent with standards for parental control.

1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care or ages of the children served: The standard is defined as the administration of medication consistent with standards for parental consent and the following minimum training standards are checked during on-site monitoring and inspections.

1. Procedure for permission of administration of medication to include prescription and non-prescription medication.
2. Storage of medication.
3. Administration of medication.
4. Documentation of administration of medication.
5. Unused medication.

##### 2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care or ages of the children served.

Pre-service

Orientation within 3 months of hire

##### 2.2.1.4 Prevention of and response to emergencies due to food and allergic reactions.

1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care or ages of the children served: **The standard is defined as the prevention of and response to emergency due to food and allergic reactions and the following minimum standards are checked during on-site monitoring and inspections:**

1. Identifying between food allergy and food sensitivity.
2. Plan of care for children with food allergies to include minimization of exposure, feeding plans, and dietary modifications.
3. Response to allergic reaction due to food.

**4. Emergency Intervention.**

**5. Documentation of allergic reaction occurrences.**

2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care, or ages of the children served.

Pre-service

Orientation within 3 months of hire

2.2.1.5 Safety of building and physical premises.

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

1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care, or ages of the children served: **The standard is defined as building and physical premises safety, including identification of protection from hazards, bodies of water and vehicular traffic and the following standards are checked during on-site monitoring and inspections:**

**1. Identification of and protection from hazards, bodies of water and vehicular traffic.**

**2. Active supervision**

**3. Safe indoor and outdoor environments**

**4. Safety of equipment, materials and furnishing.**

2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care, or ages of the children served.

Pre-service

Orientation within 3 months of hire

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

1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care or ages of the children served: **The standard is defined as the prevention of shaken baby syndrome, abusive head trauma, and child maltreatment and the following minimum standards are checked during on-site monitoring and inspections:**

**1. Infant and toddler appropriate developmental practices, to include how to cope with a crying/fussy infant.**

**2. Knowledge of shaken baby syndrome and abusive head trauma prevention and identification.**

- 3. Recognition of signs of abusive head trauma.
- 4. Behavior guidance policies at the provider level that address appropriate discipline to prevent child maltreatment.
- 5. Guidance to providers includes the inability to use physical discipline such as striking or shaking a child.

2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care, or ages of the children served.

Pre-service

Orientation within 3 months of hire

2.2.1.7 Emergency preparedness and response planning

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

- 1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care, or ages of the children served: **The standard is defined as emergency preparedness and response planning to emergencies resulting from a natural disaster, or a man-caused event. Within the meaning of those terms under section 602(a)(1) of the Robert T Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C 5195a(a)(1) that shall include procedures of evacuations, relocations, shelter in place and lock down, staff and volunteer emergency preparedness training and practices drills, communication and reunification with families, continuity of operations, and accommodation of infant and toddlers, children with disabilities, and children with chronic medical conditions) and the following minimum standards are checked during on-site monitoring and inspections:**
  - 1. Written plan and training for handling urgent medical care, threatening incidents, shelter in place, lock down and natural disasters.
  - 2. Evacuation and emergency drills, to include policy and documentations.
  - 3. First Aid, food and water supplies.
  - 4. Continuity of Operation Plan.

2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care, or ages of the children served.

Pre-service

Orientation within 3 months of hire

#### 2.2.1.8 Handling and storage of hazardous materials and the appropriate disposal of biocontaminants.

1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care, or ages of the children served: **For all providers the standard is defined as handling and storage of hazardous materials and the appropriate disposal of bio contaminants and the following minimum standards are checked during on-site monitoring and inspection:**

**1. Use and safe storage of hazardous materials.**

**2. Universal precautions, to include prevention and exposure of blood and bodily fluids.**

**3. Prevention, exposure, and disposal of biohazardous materials is included in ASNA standards.**

2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care, or ages of the children served.

Pre-service

Orientation within 3 months of hire

#### 2.2.1.9 Precautions in transporting children (if applicable)

1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care, or ages of the children served: **ASNA does not allow for the transportation of children.**

2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care, or ages of the children served.

Pre-service

Orientation within 3 months of hire

#### 2.2.1.10 Pediatric first aid and cardiopulmonary resuscitation (CPR)

1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care, or ages of the children served: **For all providers the standard is defines as valid current Pediatric first aid and cardiopulmonary resuscitation (CPR) and the following minimum standards are checked during on-site monitoring and inspections:**

**1. Pediatric First Aid and CPR Training.**

2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care, or ages of the children served.

Pre-service

Orientation within 3 months of hire

#### 2.2.1.11 Recognition and reporting of child abuse and neglect

1. Standard(s): Provide a brief summary of how this standard is defined. The description should identify the practices that must be implemented by child care programs. Include any variations based on the category of care, or ages of the children served: **For all providers the standard is defined as recognition and reporting of child abuse and neglect, as required by section 106(b)(2)(B)(i) of the Child Abuse and Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i); trained in compliance with Alaska's child abuse report laws under AS 47.17 or other child abuse reporting procedures and laws in the service area and the following minimum standards are checked during on-site monitoring and inspections.**
  1. Recognition of signs of child abuse, neglect, and maltreatment.
  2. Importance of reporting.
  3. Mandated reporting.

2. Pre-Service and Orientation Training:

To demonstrate compliance, certify by checking below how the Tribal Lead Agency requires this training topic be completed by providers during either pre-service or during an orientation period within 3 months of hire. Include any variations based on the category of care, or ages of the children served.

Pre-service

Orientation within 3 months of hire

#### 2.2.1.12 Child Development

1. Describe how training addresses child development principles, including the major domains of cognitive, social, emotional, and physical development and approaches to learning (98.44(b)(1)(iii)). **Thread, the Alaska organization for child care development, offers free classes in cognitive, social, emotional and physical development. Providers will be required to register for and attend these free zoom based classes within the first 3 months of hire and provide certificates or evidence of participation to the program. Providers will have the option to travel to Utqiagvik to attend in person training, with a trainer from Thread Alaska.**
2. Pre-Service and Orientation Training:
  - i. Describe any variations based on the category of care, or ages of the children served: **The current curriculum does not differentiate between ages. However if a provider will be focusing on one category of care, or serve only one age range ASNA CCDF Staff will help tailor course selection to a practicable extent given the training methodology and availability.**

ii. To demonstrate compliance, certify by checking below when the Tribal Lead Agency requires these training topics be completed by providers during either pre-service or during an orientation period within 3 months of hire.

Pre-service

Orientation within 3 months of hire

## 2.2.2 Ongoing Training Requirements

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

1. Center-Based Child Care Providers (e.g., Tribally Operated Centers): **24**
2. Family Child Care: **5**
3. In-Home Child Care (care in the child's home): **5**

2.2.2.2 Describe any variations based on the ages of the children served: No variation in the training materials

2.2.2.3 How do providers receive updated information and/or ongoing training regarding the standard(s)? This description should include methods to ensure that providers are able to maintain and update the health and safety practices as described in the standards above. Include any variations based on the category of care, or ages of the children served: **ASNA provides training information to providers monthly via totes that are sent out. ASNA also provides information for updates via standards to providers through the childcare@arcticslope.org e-mail and via standard USPS mail. We also meet with providers in-person as we drop totes off regarding changes or opportunities for providers.**

## 2.2.3 Optional Standards

The Tribal Lead Agency may also establish standards on optional health and safety topics that reflect the needs of the community served by the Tribal Lead Agency. These optional standards can include those related to nutrition, access to physical activity, care for children with special needs, and any other topic determined to be relevant by the Tribal Lead Agency (98.41(a)(1)(xii)).

2.2.3.1 Optional health and safety standards.

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

No. **If no, skip to 2.2.4.**

Yes. If yes, please complete the following questions, 2.2.3.2 to 2.2.3.5, as appropriate, on optional health and safety standards.

2.2.3.2 Nutrition.

1. Summarize how this standard is defined, including any variations based on the category of care, or ages of the children served:



2.2.3.3 Access to physical activity.

1. Summarize how this standard is defined, including any variations based on the category of care, or ages of the children served:

2.2.3.4 Caring for children with special needs.

1. Summarize how this standard is defined, including any variations based on the category of care, or ages of the children served:

2.2.3.5 Other areas promoting child development or protecting children’s health and safety.

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

Summarize how this standard is defined, including any variations based on the category of care or ages of the children served:

2.2.4 Standards on Child/Staff Ratios, Group Sizes, and Qualifications for CCDF Providers

**Tribal Lead Agencies are required to establish child care standards for providers receiving CCDF program funds regarding appropriate child to staff ratios (by age range of the child), group size limits for specific age populations, and the required qualifications for providers based on the type of child care setting (i.e., center-based child care providers (including Tribally Operated Centers), family child care providers, or in-home child care providers). This requirement also applies to providers who are only receiving quality CCDF dollars (658E(c)(2)(H); 98.16(m); 98.41(d)).**

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

2.2.4.1 Describe standards on child/staff ratios and group sizes for CCDF providers.

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

1. Center-Based Child Care Providers

i. Infant

Define age range: from **0** weeks  months  years

through **18** weeks  months  years

Ratio: **5:1**

Group size: **10**

ii. Toddler

Define age range: from **18** weeks  months  years

through **36** weeks  months  years

Ratio: **6:1**

Group size: **6**

iii. Preschool

Define age range: from **3** weeks [ ] months [ ] years [**x**]  
through **4** weeks [ ] months [ ] years [**x**]

Ratio: **10:1**

Group size: **10**

iv. School-Age

Define age range: from **5** weeks [ ] months [ ] years [**x**]  
through **12** weeks [ ] months [ ] years [**x**]

Ratio: **18:1**

Group size: **18**

v. Mixed-Age Groups (if applicable):

Ratio:

Group size:

2. Family Child Care Providers

i. Infant

Define age range: from **2** weeks [**x**] months [ ] years [ ]  
through **18** weeks [ ] months [**x**] years [ ]

Ratio: **Tribal 2:1**

Group size: **2**

ii. Toddler

Define age range: from **19** weeks [ ] months [**x**] years [ ]  
through **36** weeks [ ] months [**x**] years [ ]

Ratio: **Tribal 3:1**

Group size: **3**

iii. Preschool

Define age range: from **37** weeks [ ] months [**x**] years [ ]  
through **5** weeks [ ] months [ ] years [**x**]

Ratio: **Tribal 4:1**

Group size: **4**

iv. School-Age

Define age range: from **6** weeks [ ] months [ ] years [**x**]  
through **12** weeks [ ] months [ ] years [**x**]

Ratio: **Tribal 4:1**

Group size: **4**

v. Mixed-Age Groups (if applicable)

Ratio: **4:1 but no more than 2 infants**

Group size: **4**

### 3. In-Home Child Care Providers

#### i. Infant

Define age range: from **2** weeks  months  years   
through **18** weeks  months  years

Ratio: **2:1**

Group size: **2**

#### ii. Toddler

Define age range: from **19** weeks  months  years   
through **36** weeks  months  years

Ratio: **4:1 but no more than 2 infants**

Group size: **4**

#### iii. Preschool

Define age range: from **37** weeks  months  years   
through **5** weeks  months  years

Ratio: **8:1 but not more than 2 infants**

Group size: **8**

#### iv. School-Age

Define age range: from **6** weeks  months  years   
through **12** weeks  months  years

Ratio: **8:1**

Group size: **8**

#### v. Mixed-Age Groups (if applicable):

Ratio: **4:1 but no more than 2 infants**

Group size: **4**

### 2.2.5 Provide the teacher/caregiver qualifications for each category of CCDF providers.

#### 2.2.5.1 Center-Based Child Care Providers (e.g., Tribally Operated Centers):

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

1. Describe the teacher qualifications: Being at least 18 years of age, have high school diploma or equivalent such as GED prior to being hired.
2. Describe the director qualifications: Being at least 21 years of age, High school diploma or GED, Child Development Associate Certification within one year of hire.

#### 2.2.5.2 Family Child Care Providers:

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

1. Describe the teacher qualifications: Qualifications include being at least 18 years of age to count in the child to caregiver ratios, completion of required health and safety trainings, and comprehensive background checks.
2. Describe the director qualifications (if applicable):

#### 2.2.5.3 In-Home Child Care Provider (care in the child's home):

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

1. Describe the teacher qualifications: Qualifications include being at least 18 years of age to count in the child to caregiver ratios, completion of required health and safety trainings, and comprehensive background checks.

### 2.3 Monitoring and Enforcement Policies and Practices for CCDF Providers

#### 2.3.1 Enforcement of Health and Safety Requirements

**Tribal Lead Agencies must certify that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with all applicable Tribal and/or state and local health, safety, and fire standards, including those described in 98.41 and 98.42(a).**

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

Tribal Lead Agencies must conduct at least one pre-licensure/pre-service inspection for compliance with health, safety, and fire requirements and annual, unannounced inspections for licensed/regulated providers and facilities. Tribal Lead Agencies must also conduct annual inspections for license-exempt CCDF providers for compliance with health, safety, and fire requirements.

*Tribal Lead Agencies may propose an alternative approach to meet the annual inspection requirements.* In its justification, the Tribal Lead Agency must describe how the alternative approach is appropriately comprehensive and protects the health and safety of children in care.

##### 2.3.1.1 Annual inspections of CCDF providers policies and practices.

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

Describe the Tribal Lead Agency's policies and practices for annual inspections of CCDF providers for compliance with health, safety, and fire requirements for the following categories of providers. In-home child care providers can answer "not applicable" if they are not regulated.

**Center-Based Child Care Providers (e.g., Tribally Operated Centers): State of Alaska will perform the monitoring for state licensed center-based child care providers.**

**Family Child Care Providers: ASNA CCDF Staff will complete home inspections during unannounced visits. At least one unannounced provider home visit will be conducted annually. An ASNA CCDF Staff**

member or representative will arrive at the provider location and explain that they are there to conduct the annual unannounced home visit. If an announced visit will be done, ASNA CCDF Social Services will contact the provider to schedule the visit. After both unannounced and announced visits, a case note will be created and kept in the provider's file. If any health and safety requirements need to be addressed, ASNA CCDF Staff will work with the provider to correct and help them properly meet all health and safety requirements. State of Alaska will perform the monitoring for state licensed family child care providers.

In-Home Child Care Providers (care in the child's home): ASNA CCDF Staff will complete home inspections during unannounced visits. At least one unannounced provider home visit will be conducted annually. An ASNA CCDF staff member or representative will arrive at the provider location and explain that they are there to conduct the annual unannounced home visit. If an announced visit will be done, ASNA CCDF Social Services will contact the provider to schedule the visit. After both unannounced and announced visits, a case note will be created and kept in the provider's file. If any health and safety requirements need to be addressed, ASNA CCDF Staff will work with the provider to correct and help them properly meet all health and safety requirements.

2.3.1.2 Does the Tribal Lead Agency have a stand-alone licensing system (Tribal Lead Agencies do not need to describe a state licensing system for state licensed providers)?

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

No (Skip to 2.3.1.3)

Yes

If yes, describe the Tribal Lead Agency's pre-licensure inspections and annual, unannounced inspections for licensed CCDF providers policies and practices for the following categories of providers.

Center-Based Child Care Providers (e.g., Tribally Operated Centers):

Family Child Care Providers:

In-Home Child Care Providers (care in the child's home):

2.3.1.3 Alternative approach to inspection requirements.

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

Yes. Describe how the alternative approach is appropriately comprehensive and protects the health and safety of children in care:

No.

2.3.2 Monitoring Inspectors

**Tribal Lead Agencies must have policies and practices ensuring that individuals who are hired as inspectors or monitors are qualified to inspect child care providers and facilities and have received health and safety training appropriate to the provider setting and age of the children served.**

Training shall include, but is not limited to, those requirements described in 98.41(a)(1) and all aspects of the requirements detailed in Section 2.1.2 (658E(c)(2)(K)(i)(I); 98.42(b)(1)).

#### 2.3.2.1 Qualifications for inspectors or monitors to inspect facilities and providers.

To certify, describe how the Tribal Lead Agency ensures that inspectors or monitors are qualified to inspect child care facilities and providers: **ASNA CCDF Staff will have designated inspectors trained in all the applicable health and safety requirements. Only individuals who have received the proper training and who have shadowed an experienced inspector will be allowed to perform inspections independently. All inspections will be reviewed by the Social Services Director to ensure that the forms indicate compliance with program regulations.**

#### 2.3.2.2 Inspectors or monitors training on health and safety requirements.

To certify, describe how the inspectors or monitors have received training on health and safety requirements that are appropriate to the age of the children in care, and the type of provider setting (98.42(b)(1)): **In order to perform inspections, program staff will receive the same training required for providers, as well as receive training specific to monitoring. Each requirement in this plan for training, health, and safety is incorporated in the inspection check list which must be completed for every visit. For their initial monitoring, they will shadow an experienced staff member who will provide on the spot training if required. All monitoring checklists and reports are reviewed by the Social Services Director to ensure any discrepancies are discussed and resolved.**

#### 2.3.2.3 Ratio of Inspectors or Monitors to Child Care Providers

The Tribal Lead Agencies must have policies and practices requiring the ratio of inspectors or monitors to child care providers and facilities to be maintained at a level sufficient to conduct effective inspections of child care providers and facilities on a timely basis in accordance with Tribal, Federal, state, and local laws (658E(c)(2)(K)(i)(III); 98.42(b)(3)).

**ASNA CCDF Staff policies require that no more than one monitor is assigned to 20 providers/homes/centers. Each provider or home must be visited at least once annually. A listing of the providers/homes/centers requiring visits will be maintained with the last inspection date. Should the last inspection date exceed a year, it will be brought to the attention of the Social Services Director who will work to resolve the reason this has occurred and schedule for such a monitoring visit to occur.**

#### 2.3.2.4 Policies and practices regarding the ratio of inspectors or monitors to child care providers.

Describe the Tribal Lead Agency's policies and practices regarding the ratio of inspectors to child care providers (i.e., the number of inspectors per number of child care providers) and facilities within that agency's inspection area and include how the ratio is sufficient to conduct effective inspections on a

timely basis: **ASNA will maintain one monitor/inspector for every 20 providers to ensure that inspections are both effective and timely.**

## 2.4 Exemptions for Relative Providers

Tribal Lead Agencies have the option to exempt relatives over age 18 (defined in CCDF regulations as grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles (98.42(c)) from some/all health and safety requirements. *Note:* This exception applies if the individual cares only for relative children.

Check and describe, where applicable, the policies that the Tribal Lead Agency has regarding exemptions for eligible relative providers over age 18 for the following health and safety requirements. The description should include the health and safety requirements that relatives are exempt from, if applicable, and which of the federally defined relatives the exemption applies to.

### 2.4.1 Health and Safety Standards

#### 2.4.1.1 Health and Safety Standards (as described in Sections 2.2.1, 2.2.2, 2.2.4, and 2.2.6).

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

Relative providers are exempt from all health and safety standard requirements

Relative providers are exempt from a portion of health and safety standard requirements.

Describe:

Relative providers must fully comply with all health and safety standard requirements.

### 2.4.2 Health and Safety Training

#### 2.4.2.1 Health and Safety Training (as described in Sections 2.2.2 and 2.2.3).

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

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

Relative providers are exempt from a portion of all health and safety training requirements. Describe:

Relative providers must fully comply with all health and safety training requirements.

### 2.4.3 Monitoring and Enforcement

#### 2.4.3.1 Monitoring and Enforcement (as described in Section 2.3).

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

Relative providers are exempt from all monitoring and enforcement requirements.

Relative providers are exempt from a portion of monitoring and enforcement requirements. Describe:

Relative providers must fully comply with all monitoring and enforcement requirements.

## 2.5 Comprehensive Background Checks

In this section, Tribal Lead Agencies will describe the types of providers subject to comprehensive background checks and the methods used for each component of the eight background checks (e.g., which database or repository is checked). In addition, the Tribal Lead Agency will describe the policies in

place for disqualifying crimes for employment eligibility, fees, timeliness, and privacy in returning comprehensive background check results. Next, Tribal Lead Agencies will describe the processes in place for child care providers to provisionally employ child care staff (including employee, prospective employee, or household member) when not all the comprehensive background checks are returned. Tribal Lead Agencies will also describe the process for child care staff (including employee, prospective employee, or household member) to appeal unfavorable results. Finally, Tribal Lead Agencies will need to justify and describe their alternative approach, if applicable.

The CCDBG Act requires Tribal Lead Agencies, regardless of allocation size, to have in effect requirements, policies, and procedures to conduct comprehensive background checks for (1) all child care staff members (including prospective staff members) of all child care programs that are licensed, regulated, approved, or registered under Tribal law (including Tribally Operated Centers) and for (2) all other providers eligible to deliver CCDF services (e.g., license-exempt CCDF-eligible providers) (98.43(a)(1)(i)).

#### 2.5.1 Methods used for each of the eight comprehensive background check components (98.43(b))

Under the CCDF rule, a comprehensive background check must include eight separate and specific components (98.43(b)), which encompass three in-state checks, two national checks, and three interstate checks (if the individual resided in another state in the preceding 5 years). Comprehensive background check requirements apply to any staff member who is employed by a child care provider for compensation, including contract employees and self-employed individuals; whose activities involve the care or supervision of children; or who has unsupervised access to children (98.43(b)(2)).

Tribal Lead Agencies must describe the methods used for the background check components, such as the database or repository that is checked or a memorandum of understanding (MOU)/memorandum of agreement (MOA) or contract with a state or third-party vendor to conduct the checks on the Tribal Lead Agency's behalf.

Tribal Lead Agencies may use alternative approaches in addition to or instead of the pre-approved methods. For example, Tribal Lead Agencies are encouraged (but not required) to check registries maintained by the Tribe (rather than a state). Tribal Lead Agencies must provide justification in 2.5.7 for using any alternative approaches that are identified in 2.4.1. The alternative approach is subject to ACF approval, and ACF will not approve approaches with blanket exemptions that bypass the intent of protecting children's safety.

In instances in which a child care provider has already met the state's background check requirements consistent with the CCDF rule (because that provider is licensed by the state and/or receives CCDF program funding from the state), it is not necessary for the Tribal Lead Agency to require additional or duplicative background checks.

For family child care providers, the comprehensive background check requirement includes the caregiver and household members (i.e., any other adults residing in the family child care who are age 18 or older (98.43(a)(2)(ii)(C)). ACF will consider an alternative approach for limiting the background checks for household members to those who are feasible. OCC will not approve alternative approaches that do not include **any background** checks for other adults in a family child care. As stated in the preamble of the



CCDF Final Rule (81 FR 67542-43), ACF expects that Tribal Lead Agencies will conduct **some components of a background check for these individuals**, for example, a check of Tribal criminal history records. Tribal Lead Agencies who use this alternative approach must indicate which background checks apply to household members and must justify the alternative approach in 2.5.7.

This requirement does not apply to individuals over age 18 who are related to all children for whom child care services are provided (98.43(a)(2)(i)(A)).

Each of the tables below describes one component of the eight comprehensive background checks. Select which methods are used for each provider type for each component.

- Check the pre-approved and/or alternative approach method(s) used for each provider type. Tribal Lead Agencies must justify any alternative approach in 2.5.7.
- Tribal Lead Agencies may select more than one method for a provider type. (For example, a Tribal Lead Agency may search the Tribal criminal fingerprint records and the state criminal fingerprint records for staff employed in Tribally Operated Centers.)
- If relative providers over age 18 are exempt from that background check component, check “Exempt.”
- Check “Family child care household members not included” for background check components that are not conducted for household members. (OCC will not approve alternative approaches that do not include at least one **background** check component for other adults in a family child care.)
- Describe any Tribal or state database or repository (e.g., the Tribal criminal fingerprint records or a state criminal fingerprint records) used for any background check components at the end of each table.  
If the Tribal Lead Agency uses any alternative approach that is not listed, check “Other” and describe the approach. Tribal Lead Agencies must justify the alternative approach in 2.5.7.

#### 2.5.1.1 Components of in-state background checks

For in-state registry checks, OCC will consider alternative approaches that include checks of Tribal criminal, sex offender, and/or child abuse and neglect registries. OCC will also consider approaches that include checks of databases of third-party or private entities. Tribal lead agencies must justify any alternative approach in 2.5.7.

1. Criminal registry or repository using fingerprints in the current state of residency (check only those methods used)

Note: Rows are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services

	Pre-Approved Methods	Alternative Approach
Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)	<input type="checkbox"/> State database or repository <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input checked="" type="checkbox"/> Other, <i>describe:</i> <b>Name based background check for everyone 16 and older in the household through State of Alaska Department of Public Safety.</b>
State-Licensed Providers (includes center-based child care and family child care)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
Relative Providers	<input type="checkbox"/> State database or repository <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> Exempt	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input checked="" type="checkbox"/> Other, <i>describe:</i> <b>Name based background check for everyone 16 and older in the household through State of Alaska Department of Public Safety.</b>
All other providers eligible to deliver CCDF services (includes state license-exempt and in-home child care providers)	<input type="checkbox"/> State database or repository <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Family child care household members not included <input checked="" type="checkbox"/> Other, <i>describe:</i> <b>Name based background check for everyone 16 and older in the household through State of Alaska Department of Public Safety.</b>

- i. Tribal or state databases or repositories. Tribal Lead Agencies may use Tribal or state databases or repositories for some or all of their in-state background check components. Describe any Tribal or state database or repository indicated in the table above.
  - No Tribal or state database or repository used in criminal fingerprint checks.
  - Tribal database or repository. Describe:
  - State database or repository. Describe: **State of Alaska Department of Public Safety provides background checks for all providers in the state who work with children and vulnerable adults.**

2. Sex offender registry or repository check in the current state of residency (check only those methods used)

Note: Rows are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services

	Pre-Approved Methods	Alternative Approach
Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)	<input checked="" type="checkbox"/> State database or repository <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
State-Licensed Providers (includes center-based child care and family child care)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
Relative Providers	<input checked="" type="checkbox"/> State database or repository <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> Exempt	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
All other providers eligible to deliver CCDF services (includes state license-exempt and in-home child care providers)	<input checked="" type="checkbox"/> State database or repository <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Other, <i>describe:</i>

- i. Tribal or state databases or repositories. Tribal Lead Agencies may use Tribal or state databases or repositories for some or all of their in-state background check components. Describe any Tribal or state database or repository indicated in the table above.
  - No Tribal or state database or repository used in sex offender checks.
  - Tribal database or repository. Describe:

State database or repository. Describe: **The State of Alaska maintains a database of all sex offenders in the state searchable by name and locations. ASNA employees perform a search of this database for each applicant. Additionally, charges related to convictions leading to this status would appear in the background check.**

3. Child abuse and neglect registry and database check in the current state of residency (check only those methods used)

Note: Rows are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services

	Pre-Approved Methods	Alternative Approach
Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
State-Licensed Providers (includes center-based child care and family child care)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
Relative Providers	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> Exempt	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
All other providers eligible to deliver CCDF services (includes state license-exempt and in-home child care providers)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>

- i. Tribal or state databases or repositories. Tribal Lead Agencies may use Tribal or state databases or repositories for some or all of their in-state background check components. Describe any Tribal or state database or repository indicated in the table above.  
 No Tribal or state database or repository used in child abuse and neglect checks.  
 Tribal database or repository. Describe:

**[x] State database or repository. Describe: The State of Alaska Office of Children Services maintains a database of child abuse and neglect convictions. Additionally, these crimes would be noted on the background check performed.**

2.5.1.2 Components of national background check

1. FBI (Federal Bureau of Investigation) fingerprint check (check only those methods used)

For FBI fingerprint checks, the CCDBG Act does not provide explicit authority for Tribes to request FBI fingerprint checks for all child care staff. Tribes may have authority under a different Federal statute to request FBI fingerprint-based background checks for child care staff, including (but not limited to) State Statute (P.L. 92-544, 34 U.S.C. 41101), Indian Child Protection and Family Violence Prevention Act (P.L. 101-630, 25 U.S.C. 3207), National Child Protection Act/Volunteers for Children Act (NCPA/VCA) (P.L. 101-209, as amended, 34 U.S.C. 40101 et seq.), and Improving Head Start for School Readiness Act (P.L. 110-134, 42 U.S.C. 9843a).

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

OCC will consider alternative approaches (such as name-based checks of Tribal or state record management systems) when the process of obtaining fingerprints from one of the four pre-approved methods is not available or feasible. Tribal Lead Agencies must justify any alternative approach in 2.5.7.

Note: Rows are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services

	Pre-Approved Methods	Alternative Approach
Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)	<input type="checkbox"/> State agreement (e.g., MOU or MOA) <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> U.S. Department of Justice (DOJ) TAP <input type="checkbox"/> FBI-approved channeler <input type="checkbox"/> Direct to FBI	<input type="checkbox"/> Non-CCDBG Tribal authority <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input checked="" type="checkbox"/> Other, <i>describe: Name based background check for everyone 16 and older in the household through State of Alaska Department of Public Safety.</i>

State-Licensed Providers (includes center-based child care and family child care)	<input type="checkbox"/> State agreement (e.g., MOU or MOA) <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> DOJ TAP <input type="checkbox"/> FBI-approved channeler <input type="checkbox"/> Direct to FBI	<input type="checkbox"/> Non-CCDBG Tribal authority <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, describe:
Relative Providers	<input type="checkbox"/> State agreement (e.g., MOU or MOA) <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> DOJ TAP <input type="checkbox"/> FBI-approved channeler <input type="checkbox"/> Direct to FBI	<input type="checkbox"/> Non-CCDBG Tribal authority <input type="checkbox"/> Third-party vendor <input checked="" type="checkbox"/> Other, <i>describe: Name based background check for everyone 16 and older in the household through State of Alaska Department of Public Safety.</i>
All other providers eligible to deliver CCDF services (includes state license-exempt and in-home child care providers)	<input type="checkbox"/> State agreement (e.g., MOU or MOA) <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> DOJ TAP <input type="checkbox"/> FBI-approved channeler <input type="checkbox"/> Direct to FBI	<input type="checkbox"/> Non-CCDBG Tribal authority <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input checked="" type="checkbox"/> Other, <i>describe: Name based background check for everyone 16 and older in the household through State of Alaska Department of Public Safety.</i>

2. National Crime Information Center (NCIC) National Sex Offender Registry (NSOR) name-based search (check only those methods used)

Because there is no Federal authority under the CCDBG Act for Tribes to access information through the NCIC NSOR name-based search, OCC will consider approaches that do not include accessing the NCIC NSOR name-based search. An alternative approach to checking the NCIC NSOR name-based check may include a check of a private or public sex offender registry. Tribal Lead Agencies must justify any alternative approach in 2.5.7.

Note: Rows are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services

	Pre-Approved Methods	Alternative approach
Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)	<input type="checkbox"/> State agreement (e.g., MOU or MOA) <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input checked="" type="checkbox"/> Private or public sex offender registry <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Other, describe:

	<input type="checkbox"/> National FBI fingerprint NCIC NSOR automatic check plus name-based search of NCIC NSOR	
State-Licensed Providers (includes center-based child care and family child care)	<input type="checkbox"/> State agreement (e.g., MOU or MOA) <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> National FBI fingerprint NCIC NSOR automatic check plus name-based search of NCIC NSOR	<input type="checkbox"/> Private or public sex offender registry <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Other, describe:
Relative Providers	<input type="checkbox"/> State agreement (e.g., MOU or MOA) <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> National FBI fingerprint NCIC NSOR automatic check plus name-based search of NCIC NSOR <input type="checkbox"/> Exempt	<input checked="" type="checkbox"/> Private or public sex offender registry <input type="checkbox"/> Other, describe:
All other providers eligible to deliver CCDF services (includes state license-exempt and in-home child care providers)	<input type="checkbox"/> State agreement (e.g., MOU or MOA) <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> National FBI fingerprint NCIC NSOR automatic check plus name-based search of NCIC NSOR	<input checked="" type="checkbox"/> Private or public sex offender registry <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Other, describe:

### 2.5.1.3 Components of interstate background checks for place(s) of residency in last 5 years

For interstate registry checks, OCC will consider alternative approaches that include checks of Tribal criminal, sex offender and/or child abuse and neglect registries. OCC will also consider approaches that include checks of databases of third-party or private entities. Tribal Lead Agencies must justify any alternative approach in 2.5.7.

1. Criminal registry or repository using fingerprints in the previous state of residency

Note: Rows are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services

	Pre-Approved Methods	Alternative Approach
Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care, family child care, and in-home providers)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
State-Licensed Providers (includes center-based child care and family child care)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
Relative Providers	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> Exempt	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
All other providers eligible to deliver CCDF services (includes state license-exempt and in-home child care providers)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>

- i. Tribal or state databases or repositories. Tribal Lead Agencies may use Tribal or state databases or repositories for some or all their child abuse and neglect registry and database check component. Describe any Tribal or state database or repository indicated in the table above.

No Tribal or state database or repository used in background checks.

Tribal database or repository. Describe:

State database or repository. Describe: **ASNA CCDF Staff will request criminal records from any state of residence for the past 5 years.**

2. Sex offender registry or repository check in the previous state of residency (check only those methods used)

Note: Rows are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services



	Pre-Approved Methods	Alternative Approach
Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)	<input checked="" type="checkbox"/> State database or repository <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
State-Licensed Providers (includes center-based child care and family child care)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
Relative Providers	<input checked="" type="checkbox"/> State database or repository <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> Exempt	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
All other providers eligible to deliver CCDF services (includes state license-exempt and in-home child care providers)	<input checked="" type="checkbox"/> State database or repository <input type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Other, <i>describe:</i>

- i. Tribal or state databases or repositories. Tribal Lead Agencies may use Tribal or state databases or repositories for some or all of their interstate background check components. Describe any Tribal or state database or repository indicated in the table above.
  - No Tribal or state database or repository used in interstate criminal background checks.
  - Tribal database or repository. Describe:
  - State database or repository. Describe: **ASNA CCDF Staff will use the public sex offender registry from any state of residence for the past 5 years.**

- 3. Child abuse and neglect registry and database check in the previous state of residency  
Note: Rows are enabled based on the Provider Types specified in 1.7.1 Providers that Offer Direct Services

	Pre-Approved Methods	Alternative Approach
Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
State-Licensed Providers (includes center-based child care and family child care)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
Relative Providers	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf <input type="checkbox"/> Exempt	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
All other providers eligible to deliver CCDF services (includes state license-exempt and in-home child care providers)	<input type="checkbox"/> State database or repository <input checked="" type="checkbox"/> State conducts background check on Tribal Lead Agency's behalf	<input type="checkbox"/> Tribal database or repository <input type="checkbox"/> Third-party vendor <input type="checkbox"/> Family child care household members not included <input type="checkbox"/> Other, <i>describe:</i>

i. Tribal or state databases or repositories. Tribal Lead Agencies may use Tribal or state databases or repositories for some or all of their interstate background check components. Describe any Tribal or state database or repository indicated in the table above.

No Tribal or state database or repository used in interstate child abuse and neglect checks.

Tribal database or repository. Describe:

State database or repository. Describe: **ASNA CCDF Staff will request child abuse registry from any state or residence for the past 5 years.**

2.5.2 Disqualifying Crimes for Employment Eligibility

Child care staff members cannot be employed by a child care provider receiving CCDF subsidy funds if they refuse a background check, make materially false statements in connection with the background check, or are registered or required to be registered on the state or National Sex Offender Registry

(98.43(c)(1)(i-iii)). Potential staff members also cannot be employed by a provider receiving CCDF program funds if they have been convicted of:

- A felony consisting of murder, child abuse or neglect, crimes against children, spousal abuse, crimes involving rape or sexual assault, kidnapping, arson, physical assault or battery, or—subject to an individual review (at the Tribal Lead Agencies’ option)—a drug-related offense committed during the preceding 5 years
- A violent misdemeanor committed as an adult against a child, including the following crimes—child abuse, child endangerment, or sexual assault
- A misdemeanor involving child pornography (98.43(c)(1)(iv-v)).

Tribal Lead Agencies that only use state-licensed providers and rely on state-conducted background check policies and procedures should select “No”.

#### 2.5.2.1 Other disqualifying crimes.

Does the Tribal Lead Agency disqualify child care staff members based on their conviction for any other crimes not specifically listed in 98.43(c)(i)?

No.

State conducts all background checks and determines disqualifying crimes.

Yes. Describe other disqualifying crimes and provide a citation: **TRIBAL - Tribal Standards will not disqualify childcare providers based on their convictions for other crimes not specifically listed in 98.43, except for convictions of Indecent Exposure.**

#### 2.5.2.2 Alternative approach to lifetime ban for disqualifying offenses.

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

ACF will consider alternative approaches where the Tribal Lead Agency implements less than a lifetime ban for offenses that are not crimes against children. Tribes may adopt an individualized review process for determining employment eligibility for those convicted of crimes that are not crimes against children. Tribal Lead Agencies must justify any alternative approach in 2.5.7.

Does the Tribal Lead Agency use an alternative approach that implements a less than lifetime ban for offenses that are not crimes against children?

No

Yes

1. If yes, check the type of provider(s) to which the alternative approach for disqualifying crimes applies.

Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)

State-Licensed Providers (includes center-based child care and family child care)

Relative Providers

All other providers eligible to deliver CCDF services (includes license-exempt and in-home child care providers)

### 2.5.3 Fees

The Tribal Lead Agency may not charge fees that exceed the actual costs of processing applications and administering a comprehensive background check, regardless of whether they are conducted by the Tribe, a state, or a third-party vendor or contractor (98.43(f)). Tribal Lead Agencies can report that no fees are charged if applicable (98.43(f)).

Tribal Lead Agencies that only use state-licensed providers and rely on state-conducted background check policies and procedures should select “No”.

#### 2.5.3.1 Does the Tribal Lead Agency charge fees?

Yes.

No. **Skip to 2.5.4**

#### 2.5.3.2 What are the fees that the Tribal Lead Agency charges for completing the background checks?

#### 2.5.3.3 Ensuring background check fees do not exceed cost of processing and administration.

How does the Tribal Lead Agency ensure that fees charged for completing the background checks do not exceed the actual cost of processing and administration?

### 2.5.4 Timeliness and Privacy in Returning the Results

The Tribal Lead Agency must conduct the comprehensive background checks as quickly as possible, and the process shall not exceed 45 days after the child care provider submits the request. The Tribal Lead Agency shall provide the results of the background check in a statement to the provider that indicates whether the staff member is eligible or ineligible, without revealing specific disqualifying information. If the staff member is ineligible, the Tribal Lead Agency will provide information about each disqualifying crime to the staff member.

ACF will consider alternative approaches to the requirement to carry out the background check requests within 45 days. Tribes may also make employment eligibility decisions in the event that not all background check components are completed within 45 days. Tribal Lead Agencies must justify any alternative approach in 2.5.7.

Tribal CCDF Programs that only use state-licensed providers and rely on state-conducted background check policies and procedures should select “No”.

#### 2.5.4.1 Check the timeliness for conducting comprehensive background check results.

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

Approved approach: For all types of providers, the Tribal Lead Agency returns results within 45 days.

Alternative approach for OCC approval: For some or all types of providers, the Tribal Lead Agency returns results after 45 days.

1. If the Tribal Lead Agency uses an approach in which results are returned after 45 days, for which providers (check only those that apply):

- Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)
- State-Licensed Providers (includes center-based child care and family child care)
- Relative Providers
- All other providers eligible to deliver CCDF services (includes license-exempt and in-home child care providers)

Other approach, including relying on state background check system to return results.

#### 2.5.4.2 Privacy of comprehensive background checks.

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

Tribal Lead Agencies must ensure the privacy of comprehensive background checks by providing the results of the background check to the child care provider (i.e., employer) in a statement that indicates whether a child care staff member (including employee, prospective employee, or household member) is eligible or ineligible for employment, without revealing any documentation of criminal history, or disqualifying crimes, or other related information regarding the individual.

ACF will consider alternative approaches that allow some information to be shared with the child care provider. *Note:* This provision is subject to limitations in FBI policy and state or Tribal privacy requirements, which may prevent the release of information. Tribal Lead Agencies must justify any alternative approach in 2.5.7.

The Tribal Lead Agency may not publicly release the results of individual background checks. It may release aggregated data by crime as long as the data do not include personally identifiable information (98.43(e)(2)(iii)).

Check if the privacy of the child care staff member (including employee, prospective employee, or household member) is ensured when returning results to the child care provider (i.e., employer).

Approved approach: For all types of providers, the Tribal Lead Agency ensures the privacy of the child care staff member (including employee, prospective employee, or household member).

Alternative approach for OCC approval: For some or all types of providers, the Tribal Lead Agency allows some information to be shared with the child care provider (i.e., employer).

1. If the Tribal Lead Agency uses an approach in which some information is shared with the child care provider, for which providers (check only those that apply):

- Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)
- State-Licensed Providers (includes center-based child care and family child care)
- Relative Providers
- All other providers eligible to deliver CCDF services (includes license-exempt and in-home child care providers)

Other approach, including relying on state background check system to return results.

#### 2.5.5 Provisional Employment

Child care providers must submit a request to the appropriate Tribal or state agency for a comprehensive background check for each child care staff member, including prospective staff members, prior to the date an individual becomes a child care staff member (98.43(d)(1) and (2)). “Prospective staff members” have applied for a position, but have not yet begun working. A prospective child care staff member may not begin work until at least one of the following results have been returned as satisfactory:

- FBI fingerprint check
- Tribal or state criminal registry or repository using fingerprints in the Tribe or state where the prospective staff member resides

ACF will consider an alternative approach that allows for staff members to be provisionally employed once the background check request has been submitted, but prior to receiving the results of the check. New staff members are considered “provisionally employed” during the time from when one of the above fingerprint checks have been returned as satisfactory to the time when all background checks are returned as satisfactory. An alternative approach to provisional employment must require that the provider submit all comprehensive background check requests before the prospective staff person begins working.

Under either approach, the provisionally employed staff member must be supervised at all times by an individual who has completed the background check (98.43(d)(4)).

#### 2.5.5.1 Check the provisional employment approach used by the Tribal Lead Agency.

Note: Applicable Provider Types can be selected in 1.7.1.1 Providers that Offer Direct Services

Approved approach: For all types of providers, provisional employment is permitted after a satisfactory result from the FBI fingerprint check, or the Tribal or state criminal registry or repository, using fingerprints in the Tribe or state where the prospective staff member resides.

Alternative approach for OCC approval: For some or all types of providers, provisional employment is permitted after the comprehensive background check requests have been submitted, but before the results of either fingerprint checks have been returned.

1. If the Tribal Lead Agency uses the alternative approach in which provisional employment is permitted after the comprehensive background check requests have been submitted, for which providers (check only those that apply):

Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)

State-Licensed Providers (includes center-based child care and family child care)

Relative Providers

All other providers eligible to deliver CCDF services (includes license-exempt and in-home child care providers)

Not applicable, Tribal Lead Agency does not have provisional employment.

#### 2.5.6 Appeals for Child Care Staff (including employee, prospective employee, or household member).

The Tribal Lead Agency must have a process for a child care staff member (including employee, prospective employee, or household member) to appeal the results of a background check to challenge

the accuracy or completeness of the information contained in a staff member's background report (98.43(e)(3)). The Tribal Lead Agency shall ensure the following:

- The child care staff member is provided with information related to each disqualifying crime in a report, along with information and/or a notice on the opportunity to appeal.
- A child care staff member will receive clear instructions about how to complete the appeals process for each background check component if the child care staff member wishes to challenge the accuracy or completeness of the information contained in such member's background report.
- If the staff member files an appeal, the Tribal Lead Agency will attempt to verify the accuracy of the information challenged by the child care staff member, including making an effort to locate any missing disposition information related to the disqualifying crime.
- The appeals process is completed in a timely manner for any appealing child care staff member.
- Each child care staff member shall receive written notice of the decision. In the case of a negative determination, the decision should indicate (1) the Tribal Lead Agency's efforts to verify the accuracy of the information challenged by the child care staff member; (2) any additional appeals rights available to the child care staff member; and (3) information on how the individual can correct the Federal, state, or Tribal records at issue in the case (98.43(e)(3)).
- The Tribal Lead Agency must work with other agencies that are in charge of background check information and results (such as the child welfare office and the state identification bureau) to ensure the appeals process is conducted in accordance with the CCDBG Act.

#### 2.5.6.1 Notification of applicant about their eligibility to work in a child care program.

Describe how the applicant is notified about their eligibility to work in a child care program. **During the application process, applicants are informed in writing of the need to perform background checks including which crimes are considered barrier crimes. Should the background check include a barrier crime, the entirety of the record offered is for review to the applicant and a copy is provided.**

#### 2.5.6.2 Background check appeals

Describe how the Tribal Lead Agency provides opportunities for applicants to appeal the results of background checks. **If a background check reveals a barrier crime, the applicant is provided with a written copy of the appeal process. The applicant may appeal accuracy of the report to the Social Services Director who will perform a more thorough investigation, including any additional information provided by the applicant filing the appeal regarding the disposition of the disqualifying crime. The Social Services Director will provide a written report, within 14 days, indicating the steps taken to verify the information provided in the background report, the determination of the director and that they may appeal said determination to the VP of Administration of ASNA.**

#### 2.5.6.3 Review process for individuals disqualified due to a felony drug offense.

Describe whether the Tribe has a review process for individuals disqualified due to a felony drug offense to determine if that individual is still eligible for employment (98.43 (e)(2-4)). **Individuals disqualified due to a felony drug offense within the 5 year window will be informed of the appeals process, and determination of eligibility will be made on a case-by-case basis.**

#### 2.5.7 Justification for Alternative Approach(es)

Lead agencies may use alternative approaches in addition to or instead of the pre-approved methods. For example, Tribal Lead Agencies may use name-based checks of Tribal or state record management systems for the FBI fingerprint check when one of the four pre-approved methods are not available or feasible. The alternative approach is subject to ACF approval, and ACF will not approve approaches with blanket exemptions or waivers that bypass the intent of protecting children’s safety.

2.5.7.1 Issues or barriers preventing Tribal Lead Agency from conducting the required checks.

What are the issues or barriers preventing the Tribal Lead Agency from conducting the required checks? Check only those that apply:

- Does not apply—no alternative approach is used for any of the background check components
- Does not have the authority under the CCDF statute to conduct a NCIC NSOR name-based search
- No direct authority under the CCDF statute to conduct an FBI fingerprint check
- No existing formal or informal MOU or MOA with a state
- Other. Describe:

2.5.7.2 Comprehensive alternative approach to ensure health and safety of children.

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

The description should include an alternative approach that affects the methods for conducting comprehensive background checks; the implementation of less than lifetime bans for offenses that are not crimes against children; the policies that allow longer than 45 days to conduct comprehensive background checks; any private information shared with the child care provider (i.e., employer); or provisional employment, as applicable. If a Tribal Lead Agency does not use any alternative method for their comprehensive background check, please enter “Does not apply.” **ASNA alternative background check for child care providers is designed to protect children who are utilizing our services. The main goal of ASNA child care is to have high quality child care for the North Slope, and ensure children are safe. ASNA child care completes State of Alaska background checks, Alaska Public Sex Offender registry, National Sex Offender Public, Court View and OCS background checks. These checks are designed to ensure the safety of children and families. ASNA also completes all required out-of-state criminal, sex offender, and child abuse checks. The alternative approach was developed to address challenges with the traditional approach including the logistics surrounding obtaining fingerprints, and lack of authority for background checks performance.**

ASNA is requesting an alternative approach to the following requirements:

1. In State Criminal Registry and FBI Fingerprint Check. ANSA is unable to reliably fingerprint providers in outlying North Slope villages, and does not have legal authority to complete the FBI check. The requested alternative is to use a name-based check through the Alaska State Troopers. The name-based check will not place children at harm, because any flagged records will be investigated and resolved prior to approving provider.
2. NCIC-NSOR Name Based Check. ASNA does not have the legal authority to conduct this check. ASNA will perform a National Public Sex Offender Website (NSOPW) name-based search prior to approving a provider. Unlike NCICI-NSOR



NSOPW does not have a database, instead it uses web services to search the individual public registry websites from each jurisdiction. This will protect children as NSOPW provides an available public website that ASNA CCDF staff can

access to help identify sex offenders that may apply to be a provider in our region.

3. Barrier Crimes for Family Members in the Child Care Provider's Home. ASNA CCDF staff recognizes that some providers may have family members who have committed crimes that might otherwise permanently bar them from becoming

a childcare provider under current guidelines. ASNA's goal is to be as inclusive as possible in providing childcare on the North Slope while ensuring the safety of children. Certain crimes committed over ten (10) years ago by family

members who are not applying to be a childcare provider but live in the home, may be granted a variance at the discretion of the ASNA CCDF Staff. The ten (10) year bar will run from the date of the background check completed for the

application. Each case will be considered for a variance on a case-by-case basis and reviewed by the ASNA CCDF Program Staff and a group decision will be made within the five (5) days as to whether a variance would be granted. Factors

that will be taken into consideration include but are not limited to: length of time since incident, seriousness of crime, moral character of the individual involved, engagement in the community, and the family's desire to have the child in

the home with the relative provider. If a variance is issued, ASNA CCDF Staff will issue a letter and will place a copy in the provider's file. In order to ensure the safety of children, a crime against a child is never exempted as a barrier crime.

Crimes that cannot be exempted are: felony consisting of murder, child abuse or neglect, crimes against children, spousal abuse, crimes involving rape or sexual assault, kidnapping, arson, and/ or physical assault or battery. Violent

misdemeanors committed as an adult against a child, including the following crimes- child abuse, child endangerment, or sexual assault; or a misdemeanor involving child pornography are also not exempted.

### 3 Supporting Continuous Quality Improvement

As of FY 2022, all Tribal Lead Agencies are subject to a 9-percent quality set-aside. Tribal Lead Agencies must spend quality funds on at least 1 of 10 allowable quality activities, including:

- Training and professional development;
- Early learning and developmental guidelines;
- Quality rating and improvement systems;
- Supply and quality of services for infants and toddlers;
- Child care resource and referral services;
- Licensing, inspection, monitoring, training, health & safety;
- Evaluating the quality of child care programs;
- Supporting providers in the voluntary pursuit of accreditation;
- High-quality program standards; and
- Other measurable quality improvement activities, including culturally responsive activities, such as language immersion.

#### 3.1 Quality Improvement Goals and Activities

In completing this section, the Tribal Lead Agency should describe activities currently underway, planned, or expected during the 3-year Plan period. Any significant changes to the quality improvement goals or activities should be addressed through an amendment to the Plan.

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

Required Minimum for Quality Spending (As of FY 2022)		
	Tribal Lead Agencies with Small Allocations	Tribal Lead Agencies with Medium and Large Allocations
Quality Set-Aside	9%	9%
Infant-Toddler	NA	3%
Total Quality	9%	12%

##### 3.1.1 Quality Improvement Activities

Check the quality activities in 3.1.2.1 through 3.1.2.10 that the Tribal Lead Agency will invest in during this plan cycle (98.41; 98.83). Tribal Lead Agencies can, and are encouraged to, incorporate culturally responsive practices into their quality improvement activities.

##### 3.1.1.1 Child care workforce training and professional development.

Supporting the training and professional development of the child care workforce. Check only those that apply:

- Promotion of child development
- Curriculum development and instruction

- Implementing developmentally appropriate and culturally and linguistically responsive instruction
- Language and literacy
- Developing or providing training to providers about Indigenous early learners and epistemologies
- Developing or providing training to providers about the local Indigenous Nations and community
- Family engagement
- Caring for children with special health or developmental needs
- Required health and safety training topics, as described in 2.1.3
- Access to physical activity
- Indigenous nutrition and foods
- Child care as a business
- Fiscal management for providers
- Administration and program management for providers
- Supporting (through funding, scholarships, etc.) the career development pathways of the child care workforce through:
  - Credit toward required training hours
  - Certificates (including those incorporating Indigenous studies and Indian education for providers)
  - Credentials
  - Degrees (including those incorporating Indigenous studies and Indian education for providers)
- Other:

*Optional: Describe any of the activities checked above:*

### 3.1.1.2 Early learning/developmental guidelines.

Improving on the development or implementation of early learning and developmental guidelines (658E(c)(2)(T); 658G(b)(2)).

Early learning guidelines are intended to help teachers, caregivers, and directors learn what children should know and be able to do at different developmental stages to experience school success. Early learning guidelines often provide examples of activities that can be used to develop a curriculum but are not intended to serve as a curriculum development activity. Check only those that apply:

- Supporting the use of the state’s early learning guidelines

- Participating in the development or revision of the state’s early learning guidelines
- Adapting a state’s guidelines to reflect the Tribal Nation’s language and culturally specific early learning and development goals/benchmarks
- Developing or implementing the Tribal Lead Agency’s own tribally specific guidelines
- Providing trainings for staff on child development and early learning guidelines
- Other. Describe:

*Optional: Describe any of the activities checked above:*

### 3.1.1.3 Quality rating and improvement system (QRIS).

Developing, implementing, or enhancing a quality rating and improvement system (QRIS) for child care providers and services (658G(b)(3)).

A QRIS is a systemic approach to assess, improve, and communicate the level of quality in early and school-age care and education programs. Similar to rating systems for restaurants and hotels, a QRIS awards quality ratings to early and school-age care and education programs that meet a set of defined program standards.

By participating in their state’s or Tribe’s QRIS, early and school-age care providers embark on a path of continuous quality improvement. Even providers that have met the standards of the lowest QRIS levels have achieved a level of quality that is beyond the minimum requirements to operate. Check only those that apply:

- Participating in a state QRIS
- Developing a Tribal QRIS or similar rating system
- Implementing a Tribal QRIS or similar rating system
- Collaborating with other Tribes to implement a QRIS or similar rating system
- Other. Describe: **NA**

*Optional: Describe any of the activities checked above:*

### 3.1.1.4 Supply and quality of child care services for infants and toddlers.

Improving the supply and quality of child care services for infants and toddlers. Check only those that apply:

- Developing infant-toddler components within the early learning and developmental guidelines/standards, etc.
- Indigenous language and culturally responsive practices for infants and toddlers
- Providing training and professional development to enhance child care providers’ abilities to provide developmentally appropriate services for infants and toddlers
- Providing coaching, mentoring, and/or TA on this age group’s unique needs from networks of qualified infant-toddler specialists

- Improving the ability of families to access transparent and easy-to-understand consumer information about high-quality infant-toddler care that includes information on infant-toddler language, social-emotional, and early literacy and numeracy cognitive development
- Offering non-traditional hours
- Supporting the child care provider workforce through stabilization subgrants
- Coordinating with early intervention specialists who provide services for infants and toddlers with disabilities
- Coordinating with Early Head Start or Early Head Start – Child Care Partnerships
- Coordinating with home visiting activities
- Other. Describe:

*Optional: Describe any of the activities checked above:*

#### 3.1.1.5 Child care resource and referral (CCR&R) services.

Establishing or expanding a system of child care resource and referral (CCR&R) services, assisting families in finding and choosing a child care provider, collecting and analyzing child care provider supply-and-demand data, and providing training and support to providers (658E(c)(3)(B)(iii); 658G(b)(5)). Check only those that apply:

- Using a state CCR&R
- Operating a CCR&R
- Partnering with other Tribes to offer CCR&R services
- Incorporating CCR&R services into program services
- Other. Describe:

*Optional: Describe any of the activities checked above:*

#### 3.1.1.6 Licensing, inspection, monitoring, training, and health and safety.

Supporting compliance with requirements for licensing, inspection, monitoring, training, and health and safety. Check only those that apply:

- Provide health and safety materials/equipment (e.g., carbon monoxide detectors, fencing, personal protective equipment)
- Grants/mini-grants for health and safety materials/equipment
- Classroom materials and resources
- Financial assistance in meeting licensing requirements
- Conduct monitoring visits of child care providers
- Other. Describe:

*Optional: Describe any of the activities checked above: ASNA pays for Child Care Provider back ground checks.*

3.1.1.7 Evaluating the quality of child care programs.

Evaluating the quality of child care programs, including how programs positively impact children. Check only those that apply:

- Purchasing quality assessment tools
- Contracting with an outside evaluator to assess child care program quality
- Implementing surveys to collect stakeholder input
- Conducting internal training on the use of quality evaluations
- Other. Describe:

*Optional: Describe any of the activities checked above:*

3.1.1.8 Supporting providers in the voluntary pursuit of accreditation.

Tribal Lead Agencies can use quality funds to support child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high quality. Accreditation is one way to differentiate the quality of child care providers. To gain accreditation, center-based child care and family child care providers must meet certain quality standards outlined by accrediting organizations. Check only those that apply:

- Using accreditation guidelines as a quality measure
- Funding any aspect of national accreditation (e.g., accreditation from the National Association for the Education of Young Children, or the National Association for Family Child Care, or accreditation developed by a Tribal association)
- Paying annual accreditation fees
- Other. Describe:

*Optional: Describe any of the activities checked above:*

3.1.1.9 High-quality program standards.

Supporting the development or adoption of high-quality program standards related to health, mental health, nutrition, physical activity, and physical development. Check only those that apply:

- Using Head Start Program Performance Standards
- Using *Stepping Stones to Caring for Our Children*
- Using *Caring for Our Children: Basics*
- Using *Minimum Health and Safety Standards: A Guide for American Indian and Alaska Native Child Care and Development Fund Grantees*

Using a combination of the above listed standards. Describe:

Other. Describe:

*Optional: Describe any of the activities checked above:*

### 3.1.1.10 Other quality improvement activities.

Other activities the Tribal Lead Agency will engage in to improve the quality of child care services. Check only those that apply:

#### 1. Culturally Relevant Activities

Incorporating Tribal language into child care settings

Providing teacher training related to implementing language and culture in the classroom

Implementing immersion classrooms or language nests

Partnering with language and culture departments to build curricula

Modifying curricula to reflect Tribal culture

Offering culturally based training opportunities for families and providers

Providing information and training to non-Native providers about working with Native children and families

Serving traditional Native foods in child care programs

Other. Describe:

*Optional: Describe any of the activities checked above:*

#### 2. Consumer Education for Families and Providers

Written materials, including newsletters, brochures, and checklists, on child care topics

Tribal and/or local media

Social media, such as Facebook, Twitter, and Instagram

Consultation from CCR&Rs, including information about other early childhood and social/human services programs for which families and providers may qualify

Internet options, including electronic media, publications, and webcasts on child care topics

Postings on community bulletin boards

Other. Describe:

*Optional: Describe any of the activities checked above:*

3.  Provider Stabilization Subgrants

Describe: **ASNA will be providing stabilization grants to providers monthly.**

4.  Provider retention grants/bonuses

5.  Purchase of vans and busses

6.  Other quality activities, besides the activities checked above, that the Tribal Lead Agency intends to implement during this Plan period: **ASNA's program assists providers with food for children during care hours.**

3.1.2 Identification of Goals and Activities to Improve Quality

3.1.2.1 Identifying the goals and activities to improve quality as described in 3.1.1.

How did the Tribal Lead Agency identify the goals and activities to improve quality as described in 3.1.1? For example, did the Tribal Lead Agency conduct provider surveys or assessments that identified the need for quality improvements? Check only those that apply:

Site visits and/or monitoring inspection visits

Surveys to families, providers, and Tribal leadership

Community assessments

Self-assessments

Parent, family, community, or Tribal meetings

Other. Describe:

3.1.3 Evaluation of Progress for Child Care Quality Improvement Goals and Activities

3.1.3.1 Evaluating progress toward meeting the overall child care quality improvement goals.

How does the Tribal Lead Agency evaluate progress toward meeting the overall child care quality improvement goals and activities described in 3.1.1 (658G(d)(3))?

Site visits and/or monitoring inspection visits

Follow up surveys to families, providers, and Tribal leaders

Ongoing community assessments

Self-assessments and program evaluations

Parent, family, community, or Tribal meeting sign-in sheets/attendance logs

Describe the items checked above: **ASNA CCDF will create a survey for parents and providers. ASNA CCDF staff will perform a program evaluation yearly to find areas for improvement and program growth.**

**ASNA CCDF will have meetings in the communities for parents, family, and other community members during the year. Sign-in sheets for attendance will be kept. At least one meeting per**



village will be hosted by ASNA CCDF to gather input from each community.  
ASNA CCDF program will conduct a community needs assessment across the North Slope.

Other. Describe:

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

The Tribal Lead Agency must develop training and professional development requirements (documented in Section 2.1.5), including pre-service or orientation training (to be completed within 3 months) and ongoing requirements designed to enable child care providers to promote the social, emotional, physical, and cognitive development of children and to improve the knowledge and skills of the child care workforce.

Such requirements shall be applicable to child care providers caring for children receiving CCDF program funds across the entire age span, from birth through age 12 (658E(c)(2)(G)). Ongoing training and professional development should be accessible and appropriate to the setting and age of the children served (98.44(b)(2)).

#### 3.2.1 Training and Professional Development Requirements

##### 3.2.1.1 Specific training and professional development requirements.

To meet the needs of the following age groups or groups of children, describe the specific training and professional development requirements you have in place for child care providers who care for:

Infants and toddlers. Describe: **ASNA will use the Parents as Teachers curriculum to provide education on infants and toddlers. ASNA providers will be provided education on SIDS, Shaken Baby, and Brain Development to promote quality child care programs. These courses will be taught through a variety of different resources like <https://childcare.tamu.edu/courses/sids-shaken-baby-and-brain-development/>. Providers will also be provided education in child health and safety, child growth and development, and nutrition.**

Preschoolers. Describe: **ASNA will use the Parents as Teachers curriculum to provide education on infants and toddlers. ASNA will provide training during orientation to our providers in the areas of child development, nutrition, and developing nurturing child care programs.**

School-age children. Describe: **ASNA providers will be provided orientation on developing child care programs for school age children. The area of training that ASNA provides will be surrounding schedule development, safety, active learning, and child development for school-age children. ASNA providers can also request technical assistance, if they are in need of increased assistance with program development in this area.**

Children who are Indigenous-language learners. Describe:

Children with developmental delays and disabilities. Describe: **ASNA providers will be provided orientation on some of the basic child developmental delays like ADHD, FASD, and cognitive development. A provider may request technical assistance from ASNA CCDF staff if they need additional support to work with a child in their care. The ASNA child care program**

**can also provide assistance through referrals within our Social Services department through the Healthy Family Advocates.**

3.2.1.2 Participation in the state’s training and professional development system.

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

Yes. Describe: **Rural Cap and Thread Alaska**

No. Check only those that apply:

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

The state’s training and professional development opportunities are not appropriate for providers caring for Native children.

The state’s training and professional development opportunities are not accessible to Tribal CCDF providers.

The state’s training and professional development opportunities are not affordable for Tribal CCDF providers.

Other. Describe:

Unknown.

3.2.1.3 Culturally relevant trainings and professional development opportunities.

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

Yes. Describe:

No.

## 4 Tribal Lead Agencies With Small Allocations Only—Direct Services

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

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

*The Final Rule recognizes that Tribal Lead Agencies receiving small CCDF allocations do not have to operate a full CCDF program with all CCDF requirements. For example, Tribal Lead Agencies with small allocations do not have to offer subsidies/direct services—all CCDF program funds can be expended on quality activities.*

*Tribal Lead Agencies with small allocations have a lot of flexibility in how CCDF services are provided. For example, Tribal Lead Agencies with small allocations could establish their own subsidy program based on their unique needs, including determining their own eligibility requirements. Tribal Lead Agencies with small allocations who provide subsidies/direct services must provide OCC with an overview of their program requirements as part of their abbreviated CCDF Plan.*

### 4.1 Direct Child Care Services Offering

#### 4.1.1 Direct Child Care Services

##### 4.1.1.1 Direct child care services for Tribal Lead Agencies with small allocations.

Indicate if this *Tribal Lead Agency with a small allocation* will offer direct child care services. Check the appropriate box below:

Not applicable, as a *Tribal Lead Agency with a medium or large allocation*, we will describe direct services in the next section. **Skip to Section 5.**

## 5 Provide Stable Child Care Financial Assistance to Families (*Tribal Lead Agencies With Medium and Large Allocations*)

### 5.1 Eligible Children and Families

***Tribal Lead Agencies with large and medium allocations*** must include the basis for determining family eligibility through one of two options, or a combination of both, as described below.

***Standard Eligibility.*** Tribal Lead Agencies must determine eligibility for services pursuant to the criteria found in 98.20(a) and 98.81(b)(1)(ii). When eligibility is determined, children must (1) be under age 13; (2)(a) reside with a family whose income does not exceed 85 percent of the Grantee Median Income (GMI) for a family of the same size and (2)(b) reside with a family whose assets do not exceed \$1,000,000 (as certified by such family member); and (3)(a) reside with a parent(s) who is working or attending a job training or an educational program or (3)(b) receive, or need to receive, protective services (658P(4); 98.20(a)).

***Categorical Eligibility.*** If the Tribe’s median income is below 85 percent of the State Median Income, the Tribal Lead Agency has the option to consider any Indian child in the Tribe’s service area to be eligible to receive CCDF program funds, regardless of a family’s income, work, or training status, provided that the provision for services still goes to those with the highest need (98.81(b)(1)(i)). Tribal Lead Agencies that use categorical eligibility must still ensure that children meet the Tribe’s Indian child and Indian reservation or service area definitions to be eligible for services. Tribal Lead Agencies that use categorical eligibility may create opportunities to align CCDF programs with other Tribal early childhood programs, including Tribal home visiting, Early Head Start, and Head Start. This provision also allows Tribes to support Early Head Start – Child Care Partnership grants.

Tribal Lead Agencies that elect to use categorical eligibility will receive the same funding allocation as if they had chosen to use standard eligibility thresholds. Additional funds will not be allocated. Additionally, Tribal Lead Agencies that implement categorical eligibility are subject to the remaining CCDF requirements, such as the quality expenditure requirements, health and safety standards, and enforcement and comprehensive background checks.

***Combination of Standard and Categorical Eligibility:*** Tribal Lead Agencies may also use a hybrid approach to determining eligibility, that is, a combination of standard and categorical eligibility. For example, Tribal Lead Agencies may choose to use standard eligibility and categorical eligibility in different parts of their service area, or a Tribal Consortium may establish different eligibility tracks based on the preferences of its participating Tribes.

#### 5.1.1 Eligibility Criteria Related to the Child’s Age

##### 5.1.1.1 Eligibility criteria related to child’s age.

The Tribal CCDF program serves children from ages **0** (weeks **[x]** months **[ ]** years **[ ]**) through **12** (weeks **[ ]** months **[ ]** years **[x]**) (may not equal or exceed age 13).

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

Lead Agencies that opt to use Categorical Eligibility must still meet all other CCDF requirements around stable financial assistance and equal access, including age eligibility.

5.1.1.2 Children incapable of self-care.

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

No

Yes

1. The upper age is 18 (may not equal or exceed age 19).
2. Define “physical or mental incapacity”: A determination made by a health care professional and/or a doctor that confirms the child has a physical or mental incapacity and is incapable of self-care.

5.1.1.3 Children under court supervision.

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

No.

Yes. The upper age is **18** (may not equal or exceed age 19).

5.1.1.4 Children residing with a family.

Define “residing with”: **To live in the same household as a parent, guardian, or other person standing in loco parentis, and who has legal responsibilities of the child.**

5.1.1.5 Defining additional eligibility terms.

Define “in loco parentis”: **'In loco parentis' means a person acting in place of a parent, such as a relative or friend who assumes parental duties and responsibilities, but without the formalities of legal guardianship or adoption.**

5.1.2 Categorical Eligibility

5.1.2.1 Does the Tribal Lead Agency implement categorical eligibility?

No. **Skip 5.1.2.2 through 5.1.2.5 and fill out Section 5.1.3.**

Yes, the Tribal Lead Agency only implements categorical eligibility for the entire service area. **If yes, fill out Section 5.1.2 and skip section 5.1.3 through and including 5.1.6.**

Yes, the Tribal Lead Agency implements categorical eligibility for part of the service area or, for a Tribal Consortium, for one or more participating Tribes. **If yes, fill out 5.1.2 through and including 5.1.6.**

5.1.2.2 Justification for Categorical Eligibility.

Demonstrate that the Tribal Median Income (TMI) is below 85 percent of the State Median Income (SMI). For a family size of four:

1. 100 percent of State Median Income: \$ /month
2. 85 percent of State Median Income: \$ /month
3. 100 percent of Tribal Median Income: \$ /month (must be less than 85 percent SMI)

#### 5.1.2.3 Documentation of TMI and SMI data sources

Document the TMI and SMI data sources. Tribal Lead Agencies may use tribally collected income data, but Census data are preferred. The data should be the most recent median income (TMI or SMI) data available.

1. Source of data for Tribal Median Income (e.g., American Community Survey, 2020):
  - i. Date:
  - ii. Attachment #: **Document was not provided by TLA**
  - iii. Web address:
2. Source of data for State Median Income:
  - i. Name of State:
  - ii. Date:
  - iii. Attachment #: **Document was not provided by TLA**
  - iv. Web address:

#### 5.1.2.4 Describe categorical eligibility requirements, including if there are variations in categorical eligibility (e.g., different categorical eligibility in different geographical areas):

#### 5.1.2.5 Ensuring services for those with the highest need

How does the Tribal Lead Agency ensure that the provision of services still goes to those with the highest need? (98.81(b)(1)(i)):

**Skip to Section 5.2 if the Tribal Lead Agency implements categorical eligibility for the entire service area.** (Skip pattern triggered by 5.1.2.1.)

#### 5.1.3 Eligibility Criteria Based on Reason for Care

To be eligible to receive CCDF services, children must reside with a parent or parents who are working, are attending a job training or an educational program, or are engaged in a job search activity and/or must receive or need to receive protective services.

Tribal Lead Agencies have broad flexibility in defining “working,” “attending a job training program,” and “attending an educational program.” The definitions provided below should include any allowable activities, including travel time and study time. For example, a definition of “working” could include working for a salary or wages, self-employment, drug or alcohol rehabilitation, subsistence activities, job search, and/or volunteering as well as the travel time to

and from the activity. Definitions should also address any limitations, such as minimum hours required or maximum hours allowed.

#### 5.1.3.1 Definition of work, job training and education.

How does the Tribal Lead Agency define “working, job training, and education” for the purposes of CCDF eligibility at the time of determination? Make sure to include a definition for “attending” within the “job training and education” definitions (e.g., number of hours, travel time) (98.16(g)). Provide the definitions below:

**“Working”:** For the purposes of CCDF eligibility the definition of working for the parent or parents is a 15 hour per week minimum including the activities below, as well as travel time associated with participation in these activities.

- 1. Participation in gainful employment in a competitive work environment.**
- 2. Self-employment at a legitimately operated business. Proof of most recent 1040 Tax Returns filed w/the IRS and copy of current business license must be provided.**
- 3. Volunteerism, working without compensation.**
- 4. Participation in Traditional and Cultural Way of Life. This includes participation in subsistence activities, cultural events, and producing arts and crafts that are sold for income.**

For the purposes of eligibility, subsistence activities includes: the preparation for the activity, performance of the activity, processing the resulting harvest (butchering, cleaning, preparing for storage, etc.), and required break down. Examples of subsistence activities include but are not limited to: the hunting of whales, geese and/or ducks, walrus, seals, and caribou; butchering and preparing catch for storage; fishing; and berry picking. Examples of cultural events include but are not limited to: preparation and serving at Thanksgiving and Christmas Community Feasts, Apugauti, and Nalukataq.

- 5. Providing care for Elders and People with disabilities. Time spent caring for an elder (age 60 or older) or caring for a person with disabilities is included. Documentation from a medical provider verifying the need for assistance/care is required.**
- 6. Taking Medical or Emergency Leave. Parental medical or emergency leave taken from paid employment for their own care, the care of their children, or family in response to a medical event or other emergency during the course of gainful employment is included.**

**“Job training”** (include a definition for “attending a job training” e.g., number of hours, travel time): **Job training is defined as actively participating in at least 1 of the 2 approved job skills development opportunities related to adult vocational services or direct employment opportunities that are described below.**

- 1. Job internship, Job Shadowing, or Job Sharing. Written proof on letter head or e-mail is required demonstrating that the eligible individual is participating in an internship, shadowing**

or job sharing program. Both paid and unpaid programs are included. Participation in the program must either lead to increased knowledge, skill, and understanding of a chosen field of work, or be a component activity leading to the completion of a jointly developed Family/Individual Self Sufficiency Plan's goal and objectives. To qualify for part-time child care participation, including travel, must be more than 15 hours and less than 25 hours. To qualify for full-time child care participation must be at least 25 hours a week.

**2. Job Readiness and/or Work Search.** Written documentation (letter on letter head, e-mail from company) that the individual is participating in a pre-authorized training or activity needed to qualify for a new employment opportunity, continue in their current role, or lead to the satisfactory completion of a jointly developed Family/Individual Self Sufficiency Plan's goals and objectives. To qualify for part-time child care participation, including travel, must be more than 15 hours and less than 25 hours. To qualify for full-time child care participation must be at least 25 hours a week.

“Education” (include a definition for “attending an education program” e.g., number of hours, travel time): **Education is defined as participation at least 1 of the 2 approved activities described below.**

**1. Part- or full-time enrollment in an educational program.** Eligible programs may be vocational/technical, two-year, or four-year college degree programs through a U.S . accredited educational institution. Fieldwork, laboratory and study time are considered related and acceptable activities while enrolled. Enrollment must be verifiable, and an official school transcript or certificate of completion must be submitted to ASNA CCDF staff when the program is completed. Enrollment and completion documentation will be filed in the participants file.

To qualify for full-time child care, parents must be enrolled as a full-time student and taking a minimum of 12 hours of coursework a week, with study time/homework and travel resulting in at least 25 hours a week. To qualify for part-time child care, parent must be enrolled as a part time student and taking a minimum of 15 hours a week, which includes homework and travel time.

**2. Drug and Alcohol Rehabilitation.** Attending/participating in an inpatient or outpatient treatment program. Ideally, treatment will help support their recovery and allow them to gain or improve employment, or participate in an educational or training opportunities. The determination to provide full- or part-time child care coverage will be based the requirements of the overall treatment plan.

#### 5.1.4 Eligibility Based on Protective Services and Vulnerable Populations

Tribal Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases, including other vulnerable children, such as children experiencing homelessness.



If the Tribal Lead Agency provides CCDF-funded child care to children in foster care whose foster care parents are not working or in education/training activities, these children are considered to be in protective services and must be included in this definition for CCDF purposes.

5.1.4.1 Protective services.

For the purposes of CCDF eligibility, does the Tribal Lead Agency include children who receive, or need to receive, protective services?

No. **Skip to 5.1.5.**

Yes.

1. Define “protective services” for the purposes of eligibility: **For the purposes of program eligibility, the situations listed below are included in the definition of protective services.**

**1. A child is a Child in Need of Aid (CINA) placed under the care of the State of Alaska Office of Children’s Services (OCS) or Tribal/Native Social Services . Foster Care, including Emergency/Temporary matters, are considered eligible. Verification that child qualifies under protective services will be submitted to ASNA CCDF prior to approval of childcare under this section. Verification must be in writing. A letter on a letterhead or an e-mail from the State of Alaska OCS or a Tribal/Native Social Service stating that the child is in protective services is sufficient. Verifying documents will be filed in the client and providers CCDF Files. Respite Care will be provided to families at a maximum of 20 hours a month per child.**

**2. The child’s parent is a teen parent.**

**3. The child is part of a family experiencing homelessness (see definition of homelessness).**

**4. A parent is incapable of working or providing child care for their child due to a disability, enrollment in treatment, or medical condition they are able to apply for child care. Eligibility will be determined on a case by case base with appropriate documentation (doctor’s note detailing inability to work and provide child care, statement from treatment center/enrollment in treatment).**

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

No.

Yes. Foster care is included under the Tribal Lead Agency’s definition of protective services in 5.1.4.1 above. (This means that, for CCDF purposes, the Tribal Lead Agency considers these children to be served under the protective services eligibility category.)

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

No

Yes

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

No.

Yes. Respite care is included under the Tribal Lead Agency’s definition of protective services in 5.1.4.1 above.

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

No.

Yes.

#### 5.1.5 Eligibility Criteria Based on Family Income

##### 5.1.5.1 Definition of income for purposes of eligibility.

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

How does the Tribal Lead Agency define “income” for the purposes of eligibility? **1) Net wages or compensation, earned or unearned, for the working parent(s) or Legal Guardian(s) within the household unit;**

**2) Excluded income is annual or quarterly dividends paid to the household unit through the State of Alaska Permanent Fund, Regional, or Village Corporation or Tribe PerCap. Allowable deductions include payroll taxes, utilities, rent, phone bill, IRS Levy, Child Support, and other pre tax-deductions for retirement savings;**

**3) A Self-employed individual shows 'income' verified in a previous year form 1040 Tax Returned filed with the Internal Revenue Service;**

**4) Social Security Disability Income or Social Security Income are not considered 'income';**

**5) Bingo and Gaming earnings are not considered unearned income;**

**6) For the individual identified in an 'education program' scholarships, grants, lease agreement.**

##### 5.1.5.2 Establishing CCDF family income eligibility limits.

**Tribal Lead Agencies must establish CCDF family income eligibility limits.** Those limits cannot exceed 85 percent of the Grantee Median Income (GMI). A Tribal Lead Agency has the flexibility to use either State Median Income (SMI) or Tribal Median Income (TMI) as its Grantee Median Income. Check the appropriate box below to indicate which option the Tribal Lead Agency has selected:

State Median Income for a family of the same size.

Source (e.g., Census Bureau, etc.): **Low Income Home Energy Assistance Program (LIHEAP) Grant State Median Income Estimates**

[https://www.acf.hhs.gov/sites/default/files/documents/ocs/COMM\\_LIHEAP\\_Att1SMITable\\_FY2023.pdf](https://www.acf.hhs.gov/sites/default/files/documents/ocs/COMM_LIHEAP_Att1SMITable_FY2023.pdf)

State: **Alaska**

Year: **2023**

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

Source: (e.g., Tribal community assessment, etc.):

Year:

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

#### 5.1.5.3 Establishing CCDF income eligibility levels.

**Tribal Lead Agencies must establish CCDF income eligibility levels.** Complete Table 5.1.5.3 for the Tribal Lead Agency’s CCDF income eligibility levels.

Column (a) lists 100 percent of the current Grantee Median Income (GMI) for each family size.

Column (b) lists 85 percent of the current GMI for each family size. (By law, this is the maximum allowable income for CCDF eligibility.)

Has the Tribal Lead Agency chosen to set income eligibility limits below 85 percent of the current GMI?

No. **Complete column (a) in Table 5.1.5.3. Column(b) will be automatically calculated. Do not complete columns (c) through (f).**

Yes. **Complete columns (a), (c), and (e) in Table 5.1.5.3. Columns (b), (d) and (f) will be automatically calculated.**

Columns (c) and (d) show the Tribal Lead Agency’s maximum income eligibility level for each family size at the time a family applies for CCDF services. Tribal Lead Agencies have the option of setting income eligibility limits below 85 percent of the current GMI.

- Columns (e) and (f) list the Tribal Lead Agency’s graduated phase-out or maximum “exit” income levels. If the Tribal Lead Agency sets income eligibility limits below 85 percent of the current GMI, it is subject to the graduated phase-out requirement described below. Tribal Lead Agencies that set their initial income eligibility levels at 85 percent of the current GMI are not subject to the graduated phase-out requirement (98.21(b)). Tribal Lead Agencies that establish initial family income eligibility below 85 percent of GMI must provide graduated phase-out by implementing two-tiered eligibility thresholds, with the second tier of eligibility (used at the time of eligibility redetermination) set at 85 percent of State Median Income (SMI) for a family of the same size—or an amount lower than 85 percent of SMI but

above the Tribal Lead Agency’s initial eligibility threshold. If the Tribal Lead Agency uses an amount lower than 85 percent of GMI, it must take into account the typical household budget for a low-income family and provide justification that the eligibility threshold (1) is sufficient to accommodate increases in family income that promote and support family economic stability and (2) reasonably allows a family to continue accessing child care services without unnecessary disruption (98.21(b)).

The income limit in column (e) cannot exceed the amount shown in column (b).

**Table 5.1.5.3: Tribal CCDF Income Eligibility Levels**

Family Size	(a) 100% of GMI \$/month	(b) 85% of GMI \$/month [Multiply (a) by 0.85]	(c) <i>(If Applicable)</i> Maximum Income Level if Lower Than 85% Current GMI \$/month	(d) <i>(If Applicable)</i> Maximum Income Level if Lower Than 85% Current GMI % of GMI [Divide (c) by (a), multiply by 100]	(e) <i>(If Applicable)</i> Maximum Phase-Out/Maximum “Exit” Income Level (Cannot exceed 85% GMI) \$/month	(f) <i>(If Applicable)</i> Maximum Phase-Out/Maximum “Exit” Income Level (Cannot exceed 85% GMI) % of GMI [Divide (e) by (a), multiply by 100]
1*	4758.22	4044.49				
2	6222.28	5288.94				
3	7686.35	6533.40				
4	9150.42	7777.86				
5	10614.48	9022.31				
6	12078.55	10266.77				
7	12353.06	10500.10				
8	12627.58	10733.44				

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

5.1.5.4 Income fluctuations in determining or redetermining eligibility.

During the eligibility determination or redetermination process, **the Tribal Lead Agency must consider fluctuations in family income.** This is particularly important for families who rely on work that is unpredictable or seasonal in nature, such as agriculture; construction work; or subsistence activities, such as hunting and fishing. Families may experience a temporary spike in income due to working increased hours over a short period, yet those earnings are not representative of the family’s income over the course of a year.

How does the Tribal Lead Agency take income fluctuations into account when determining and redetermining eligibility? Check all that apply:

Averaging income annually

Disregarding temporary, short-term income increases

Other. Describe:

#### 5.1.5.5 Family assets.

Tribal Lead Agencies are required to ensure that children receiving CCDF program funds do not have family assets that exceed \$1,000,000, as certified by a family member (98.20(a)(2)(ii)). Tribal Lead Agencies can meet this requirement through family self-certification, either in the application, during the interview process, or through another method as determined by the Tribal Lead Agency.

Describe how the family member certifies that family assets do not exceed \$1,000,000: **This information is requested on the child care assistance application. The family member self-certifies family assets by checking "yes" or "no".**

#### 5.1.6 Additional Eligibility Criteria

The Tribal Lead Agency has flexibility in establishing additional eligibility criteria. Additional criteria could include, for example, Tribal applicants first applying with the state CCDF program or higher income limits in one part of the Tribal service area.

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

No

Yes. Describe:

5.1.6.2 Attachment for additional income eligibility.

If additional eligibility criteria include different income eligibility limits, please attach additional income eligibility tables and indicate attachment(s) #: **Document was provided by TLA**

### 5.2 Application and Eligibility Determination/Redetermination Process

#### 5.2.1 Dissemination of Information on Applying for Child Care Assistance

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

##### 5.2.1.1 Informing Families.

How are families informed of the availability of child care assistance under the Tribal CCDF program? Check only those that apply:

Tribal Lead Agency

CCR&R agencies

Child care providers

Public and/or Tribal schools

- |   |   |
|---|---|
| <input type="checkbox"/> Early Head Start/Head Start programs | <input type="checkbox"/> Tribal newsletter/newspaper  |
| <input type="checkbox"/> Health Clinics                       | <input checked="" type="checkbox"/> Radio and/or television                                     |
| <input type="checkbox"/> TANF offices                         | <input checked="" type="checkbox"/> Social media  |
| <input checked="" type="checkbox"/> Other Tribal offices      | <input checked="" type="checkbox"/> Internet. Provide website(s):<br><b>www.arcticslope.org</b> |
| <input type="checkbox"/> Other governmental offices           | <input type="checkbox"/> Other. Describe:   |
| <input checked="" type="checkbox"/> Community outreach events |   |

### 5.2.2 Applying for Child Care Services

5.2.2.1 How can families apply for child care services? Check only those that apply:

- In-person interview or orientation
- Phone
- Mail
- At the child care provider's site
- Electronically via online application or email (provide website): **childcare@arcticslope.org**
- Other. Describe:

### 5.2.3 Eligibility Documentation Procedures

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

Lead agencies should note that there are no Federal requirements for specific documentation or verification procedures.

5.2.3.1 Document verification at initial determination and redetermination.

Check the information that the Tribal Lead Agency documents and verifies at initial determination and redetermination and describe, at a minimum, what information is required and how often. Check only those that apply:

Child's age: **The child's birth certificate is required to be submitted with the application. If a child doesn't have birth certificate, a copy of their immunization record can be used. This information only needs to be submitted with the initial application.**

Indian child: **Either the child's or their parent's Tribal Enrollment documents are required. This information only needs to be submitted with the initial application.**

**[x] Work: The parent's pay-stubs or an employment verification letter is required. This information needs to be submitted with the initial application for eligibility determination and at redetermination (renewal).**

**[x] Job training: A program acceptance letter and class/training schedule is required. This information needs to be submitted with the initial application for eligibility determination and at redetermination (renewal). The class/training schedule submitted at redetermination must be for the appropriate timeframe.**

**[x] Education program: A letter of admission/ acceptance and class/training schedule or treatment plan is required. This information needs to be submitted with the initial application for eligibility determination and at each redetermination (annual renewal). The class/training schedule or treatment plan submitted at redetermination must be for the appropriate timeframe.**

**[x] Family income: Documentation of family income is required. This information needs to be submitted with the initial application for eligibility determination and at each redetermination (annual renewal).**

**Monthly income can be determined based on any one of the following:**

- 1. Pay-stubs from the last 30 days.**
- 2. An employment verification letter that includes the rate of pay.**
- 3. Most recent tax return (eligible income will be divided by 12 to determine average monthly income).**

**[x] Household composition: Household composition consist of parent(s)/guardian(s) and their children in their household. Verification of household composition is completed as a self-attestation by the applicant. This attestation is required with the initial application for eligibility determination and at redetermination (renewal).**

**[x] Applicant identity: Parents are required to provide a copy of their State or Tribal Issued identification card with the their application. This information only needs to be submitted with the initial application.**

**[x] Applicant's relationship to the child: The child's birth certificate is required to be submitted with the family's application. If the applicant is not the parent listed on the birth certificate, they will need to provide signed Indian Custodianship, court document, and also evaluated on a case by case basis when acting in loco parentis. This information is required with the initial application for eligibility determination and at redetermination (renewal).**

**[x] Applicant's residence (e.g., must reside within Indian reservation or service area): Physical address is included in the application. ASNA CCDF staff will verify they live in the service area based on other documents submitted with application (identification card, tribal enrollment documents, tax returns, etc.). This information is required with the initial application for eligibility determination and at redetermination (renewal).**

**[ ] Other:**

#### 5.2.4 Timeliness of Eligibility Determinations

5.2.4.1 Timeliness of eligibility upon receipt of applications.

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

Time limit for making eligibility determinations. Describe the length of time: **ASNA CCDF Staff will have two weeks after receiving a completed application to process and approve or deny an application. ASNA utilizes the OneTribe software system to help track eligibility determinations.**

Track and monitor the eligibility determination process.

Other. Describe:

None.

5.2.5 12-Month Eligibility

**Tribal Lead Agencies are required to establish a minimum 12-month eligibility and redetermination period, regardless of changes in a family’s eligibility including changes in child’s age (including turning 13 years old during the 12-month eligibility period) and changes in family’s residency within a Tribal service area (658E(c)(2)(N)(i) and (ii); 45 C.F.R § 98.21(a)(1)).**

Tribal Lead Agencies must provide a minimum 12-month eligibility and redetermination period as long as the family’s income does not exceed the Federal threshold of 85 percent of the grantee median income. The Tribal Lead Agency may not terminate assistance prior to the end of the 12-month period if a family experiences temporary changes in participation in work, training, or educational activities (658E(c)(2)(N)(i) and (ii)).

5.2.5.1 Minimum 12-month eligibility.

Describe the Tribal Lead Agency’s policies and procedures in implementing the minimum 12-month eligibility and redetermination requirements: **The twelve month eligibility period starts on the day of application approval, and ends 12 months later. For example: a completed application is submitted, and is approved on May 1, 2023. The client's eligibility will end on May 1, 2024. ASNA CCDF Staff will make contact with the client 1 month prior to the end of their eligibility period to ask them to re-apply to avoid potential disruption in their services.**

5.2.5.2 Definitions required minimums of temporary change.

Describe and define the Tribal Lead Agency’s policy for each of the minimum required elements listed below that are included in the lead agency’s definition of “temporary change.”

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. Describe or define the Tribal Lead Agency’s policy: **ASNA CCDF allows parental medical or emergency from paid employment for their own care, the care of their children, or family in response to a medical event or other emergency during the course of gainful employment.**



- [x] Interruption in work for a seasonal worker. Describe or define the Tribal Lead Agency’s policy: **ASNA CCDF does not require notification from seasonal workers who utilize childcare. ASNA CCDF only requires notification if they do not return to their seasonal work or are not looking for new seasonal work.**
- [x] Student holidays or breaks for a parent participating in a training or educational program. Describe or define the Tribal lead agency’s policy: **ASNA CCDF allows parents participating in training or educational program to attend holiday or breaks. Participants are required inform the program, if they have a change the status of their enrollment or discontinue the training program. Participation in scheduled holidays and breaks does not require notification to ASNA.**
- [x] Reduction in work, training, or education hours, as long as the parent is still working or attending a training or an educational program. Describe or define the Tribal Lead Agency’s policy: **ASNA does not require notification of reduction in work, training hours, or education.**
- [x] Other cessation of work or attendance at a training or an educational program that does not exceed 3 months, or a longer period of time established by the Tribal Lead Agency. Describe or define the Tribal Lead Agency’s policy: **ASNA CCDF program allows for cessation of work or attendance at training or an education program. ASNA CCDF requires that notification is provided if the parent is exceeding three months.**
- [x] Changes in residency within the Tribal service area. Describe or define the Tribal Lead Agency’s policy: **If provider or a client changes residency within the Tribal Service Area they will need to notify ASNA CCDF Staff and update their application. Changes in residency within the service area does not change program eligibility.**
- [x] A child turning 13 years old during the 12-month eligibility period. Describe or define the Tribal Lead Agency’s policy: **If the child is turning 13 years old during the 12 month eligibility period, they can be under child care services until the 12 month period is over.**

#### 5.2.5.3 Additional definitions of temporary changes.

Describe any additional conditions in the Tribal Lead Agency’s definition of “temporary changes in activity”: **ASNA CCDF does not have any additional definitions of temporary changes.**

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

A Tribal Lead Agency has the option to discontinue assistance during the 12-month eligibility period due to a parent’s non-temporary loss of work, or cessation of attendance at a job training or an educational program; however, it must provide at least 3 months of continued assistance at the same level after such loss or cessation. At the end of the minimum 3-month period of continued assistance, if the parent has engaged in a qualifying work, training, or educational program activity with an income below 85 percent of SMI, assistance cannot be terminated, and the child must continue receiving assistance until the next scheduled redetermination or, at the Tribal Lead Agency’s option, for an additional minimum 12-month eligibility period (98.21 (a)).

5.2.6.1 Discontinuation of assistance during a minimum 12-month eligibility period.

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

Yes. Describe the Tribal Lead Agency’s policies and procedures for discontinuing assistance due to a parent’s non-temporary change: **If the parent(s) have not re-engaged in any eligible activity within the three months, their child care assistance will be discontinued. If discontinued our staff will inform the parent(s) verbally and in writing.**

No. The Tribal Lead Agency does not discontinue assistance during the 12-month eligibility period due to a parent’s non-temporary change.

5.2.6.2 Job search/continuation of services.

Describe the Tribal Lead Agency’s policies and procedures for offering a minimum 3-month period to allow parents to engage in a job search, and to resume participation in an eligible activity.

**Describe: ASNA CCDF program supports parent seeking employment, job training and skill development. ASNA CCDF programs allows parents to engage in these services for three months with no change in egability.**

*The Tribal Lead Agency may discontinue assistance prior to the next 12-month redetermination in the following limited circumstances. Check only those that apply:*

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

A change in residency outside of the Tribal service area.

Substantiated fraud or intentional program violations that invalidate prior determinations of eligibility. Describe the violations that lead to discontinuing assistance: **Reporting false income information, failure to report proper family size, and/or submitting child care timesheets during a period of time parent(s) are not actively participating in eligible activities.**

5.2.7 Change reporting during the 12-month eligibility period.

Families are required to report to the Tribal Lead Agency at any time during the 12-month eligibility period if the family’s income exceeds 85 percent of the GMI, taking into account irregular fluctuations in income (98.21(e)(1)).

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

**Tribal Lead Agencies are required to have procedures and policies in place to ensure that families (especially families receiving assistance under the TANF program) are not required to unduly**

disrupt their employment, education, or job training activities to comply with the Tribal Lead Agency’s or designated local entity’s requirements for the redetermination of eligibility for assistance (658E(c)(2)(N)(ii); 98.21(d)).

5.2.7.1 Requirements for families to report changes.

Does the Tribal Lead Agency require families to report other changes (e.g., change of address, change in need for child care, change in child care provider)?

No.

Yes. Describe **Families are required to report changes to contact information (mailing addresses, e-mails, and phone numbers, or change in child care providers). Current contact information is needed for time-sensitive communications.**

**Families are to report if they are in need of child care changes. Families can opt out of child care at any time they choose. Requests to opt out need to be made in writing accepted via mail, e-mail or fax.**

5.2.7.2 Ensuring reporting is not burdensome.

Describe how the Tribal Lead Agency ensures that reporting changes are not burdensome and avoid an impact on continued eligibility between redeterminations (e.g., reporting changes by mail, email, online forms, or in-person; extended submission hours): **Families can report changes by contacting:**

**ASNA Social Services**

**PO Box 1232**

**Utqiagvik, AK 99723**

**Fax: 907-852-2761 or 907-852-9281**

**Phone: 907-852-9379**

**Email : childcare@arcticslope.org**

5.2.8 Procedures for Unlimited Access for Parents

**Tribal Lead Agencies are required to have in effect** procedures for ensuring that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF program funds (658E(c)(2)(B); 98.16(t); 98.31).

**\\* FirstCap**5.2.8.1 Describe the Tribal Lead Agency’s procedures for meeting the parental access requirement: **During the application process, it is explained to the parents that they have the right to unlimited access to their children at any time. A statement that parents have unlimited access to their child during child care is included on the provider and client application.**

5.2.9 TANF Agency Definitions

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

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

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

5.2.9.1 Identify the TANF agency that established these criteria or definitions:

State TANF Agency: **Alaska Department of Health and Social Services**

Tribal TANF Agency: **N/A**

5.2.9.2 Provide the following criteria or definitions established by the TANF Agency:

1. “Appropriate child care”: **Per Alaska Temporary Assistance Manual Section 730-2: "appropriate child care" is when a child care provider is willing to take care of the participant's children, and/or is willing to become an approved or licensed child care provider.**
2. “Reasonable distance”: **Per Alaska Temporary Assistance Manual 730-2 "Reasonable distance" is within 20 minutes of travel time by public or private transportation from the participant's home or activity site.**
3. “Unsuitability of informal child care”: **This term is not defined Alaska Temporary Assistance Manual section 730-2 defines suitable so adjusted for this definition, unsuitability of informal child care is when child care is not appropriate or within a reasonable distance .**
4. “Affordable child care arrangements”: **Per Alaska Temporary Assistance Manual section 730-2, 'Affordable child care arrangements' is when the family has PASS I assistance to pay the cost.**

5.2.9.3 TANF work requirements exceptions.

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

In writing. Describe: **This notification should be provided by the Alaska Temporary Assistance Office.**

Verbally. Describe: **This notification should be provided by the Alaska Temporary Assistance Office.**

### 5.3 Improving Access for Vulnerable Children and Families

**Tribal Lead Agencies are required to give priority for child care assistance to “children with special needs” and children experiencing homelessness (658E(c)(3)(B); 98.46(a)).** The prioritization of CCDF assistance services is not limited to eligibility determination (e.g., prioritize for enrollment, serve

without placing vulnerable populations on waiting lists, waive co-payments, pay higher rates for access to higher quality care, use grants or contracts to reserve slots for priority populations).

### 5.3.1 Children With Special Needs

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

5.3.1.1 Describe how the Tribal Lead Agency defines “children with special needs”: **ASNA defines a child with special needs as : cognitive disabilities, learning disabilities, diagnosed physical or mental health condition. Special needs must be verified by a medical provider or a copy of their School IEP or IFSP from a Infant Learning Program.**

#### 5.3.1.2 Children with special needs.

Describe how the Tribal Lead Agency will give priority for child care services to children with special needs: **If there is high demand of child care, there will be a waitlist , and children diagnosed with special needs will be first priority.**

### 5.3.2 Services for Children Experiencing Homelessness

As defined in Section 725 of Subtitle VII-B of the McKinney-Vento Act (42 U.S.C. 11434a; 98.2), children experiencing homelessness are those who lack a fixed, regular, and adequate nighttime residence, and who are:

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

**Tribal Lead Agencies are required to expend CCDF program funds to:**

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

#### 5.3.2.1 Access for families experiencing homelessness.

Describe how the Tribal Lead Agency improves access to child care for children and families experiencing homelessness (e.g., adding new providers near homeless shelters): **ASNA will work with families to help them find the most appropriate child care that is within close proximity to their needs and resources to support the children and families experiencing homelessness.**

5.3.2.2 Services for families experiencing homelessness.

Indicate how services are prioritized for children experiencing homelessness, as defined by the Tribal Lead Agency. Check only those that apply:

Prioritize for enrollment in child care services

Serve without placing on waiting list

Waive co-payments (on a case-by-case basis) as described in 5.4.1(g)

Pay a higher rate for access to higher quality care

Using grants or contracts to reserve spots

5.3.2.3 Outreach for families experiencing homelessness.

Describe how the Tribal Lead Agency conducts outreach to children experiencing homelessness and their families: **ASNA CCDF Staff will work with other North Slope Agencies in our outreach for children and families experiencing homelessness. These agencies may include but are not limited to NSB PSO, NSB AWIC, NSBSD.**

5.3.2.4 Grace periods.

Tribal Lead Agencies must establish a grace period that allows children experiencing homelessness and children in foster care to receive CCDF assistance while providing their families with a reasonable time to take any necessary actions to comply with immunization and other health and safety requirements. The length of such a grace period shall be established in consultation with the state, territorial, or Tribal health agency (658E(c)(2)(I)(i)(I); 98.41(a)(1)(i)(C)).

Describe the grace period and how the length of the grace period was established in consultation with state or Tribal health agencies for:

- a) children experiencing homelessness: **A child may be enrolled for no more than 30 days if the child's immunization records are not immediately available. The North Slope Borough Health Department is able to provide immunization at no cost. Immunization can be requested at Samuel Simmonds Memorial Hospital.**
- b) children in foster care: **Immunization records for foster children are requested from Office of Children Service by ASNA CCDF Staff. ASNA has a form for religious exemption. ASNA allows a 30 day grace period.**

5.3.3 Additional Priority Rules or Categories

5.3.3.1 Does the Tribal Lead Agency have additional priority rules or categories?

No.

Yes. Define the additional priority rule(s):

5.3.4 Building the Supply of Child Care

**Tribal Lead Agencies are required to develop and implement strategies to increase the supply of child care services and to improve the quality of care for children who are typically underserved.**

These populations include children in underserved areas, infants and toddlers, children with disabilities, and children who receive care during non-traditional hours. (See

<https://www.acf.hhs.gov/occ/policy-guidance/building-supply-high-quality-child-care> for additional guidance.)

5.3.4.1 Supply and quality improvement strategies.

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

Children in underserved areas. Describe: **ASNA CCDF Staff will increase outreach to the outlying villages on the North Slope. During the visit, the staff member will meet with families that are interested in receiving child care services and help them complete an application. ASNA CCDF Staff will educate community members about the CCDF Program. ASNA CCDF Staff will also meet with the village tribal offices to offer support and services to address their request for assistance in improving child care services in their village.**

**ASNA CCDF Staff will work with community partners, school district, and Tribal partners to provide increased support to improve quality of child care. ASNA CCDF staff will provide increased training to our community on child education and support providers.**

Infants and toddlers. Describe: **ASNA CCDF Staff will increase their outreach to the outlying villages of the North Slope. When ASNA CCDF Staff members travel to the villages, they will meet with families that are interested in childcare services and help them to complete an application. ASNA CCDF Staff will also meet with the village tribal representatives to offer support and services to address their request for assistance in improving childcare services in their village. ASNA CCDF Staff will assist the providers with trainings, or provide other assistance that falls under quality services that they may need to be able to provide childcare to infant and toddlers. Providers will have the opportunity to attend trainings such as Safe Sleep and Nutrition. ASNA CCDF Staff will provide supplies for infants and toddlers, including toys and activities that will help develop child's emotional, social, and cognitive skills.**

Children with disabilities. Describe: **ASNA CCDF Staff will increase their outreach to the outlying villages on the North Slope. When ASNA CCDF Staff members travel to the villages, they will meet with families that are interested in childcare services and help them complete an**

application. ASNA CCDF Staff will also meet with the village tribal representatives offices to offer support and services to address their request for support of families and childcare providers who have children with disabilities. This assistance can include: helping the provider get specific training, ramping, safety equipment, special toys and/or equipment for disabled children and any other assistance that may qualify under CCDF Quality Funds.

Children who receive care during non-traditional hours. Describe: ASNA CCDF Staff will increase their outreach to the outlying villages on the North Slope. When ASNA CCDF staff members travel to the villages, they will meet with families that are interested in childcare services and assist them to complete an application. ASNA CCDF Staff will also meet with the village tribal representatives to offer support and services to address their request for assistance in improving childcare services in their village. ASNA CCDF offers non-traditional hours to help support families who need childcare after the traditional hours.

**5.4 Family Contribution to Payments**

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

**5.4.1 Family Contribution to Payment**

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

5.4.1.1 Complete the co-payment information based on the most populous area of the service area (defined as the area serving the highest number of CCDF children). Calculate the percent of income by dividing the co-payment by the family income.

	Lowest income level where family is charged a co-pay (greater than \$)	What is the monthly co-payment for a family of this size based on the lowest income level?	What percentage of income is this co-payment at the lowest income level?	Highest income level before a family is no longer eligible?	What is the monthly co-payment for a family at the highest income level?	What is the percentage of income at the highest income level?
Family size of 1	1417.00	35.00	2.47	4044.00	101.00	2.50
Family size of 2	1909.00	48.00	2.51	5289.00	132.00	2.50



Family size of 3	2401.00	60.00	2.50	6533.00	163.00	2.50
Family size of 4	2891.00	72.00	2.49	7778.00	194.00	2.49
Family size of 5	3383.00	85.00	2.51	9022.00	226.00	2.50

5.4.1.2 What is the effective date of the sliding-fee scale(s)? 5/1/2023

5.4.1.3 Will the attached sliding-fee scale be used in all parts of the service area?

Yes.

No. Attach additional sliding-fee scale(s). Attachment(s) #: **Document was not provided by TLA.** Effective date:

5.4.1.4 Calculation of family contribution.

How will the family’s contribution be calculated, and to whom will it be applied? Check only those that apply:

The fee is a dollar amount and:

The fee is per child, with the same fee for each child.

The fee is per child and is discounted for two or more children.

The fee is per child up to a maximum per family.

No additional fee is charged after a certain number of children.

The fee is per family.

The contribution schedule varies because it is set locally and/or regionally. Describe:

Other. Describe:

The fee is a percentage of income and:

The fee is per child, with the same percentage applied for each child.

The fee is per child, and a discounted percentage is applied for two or more children.

The fee is per child up to a maximum per family.

No additional percentage is charged after a certain number of children.

The fee is per family.

The contribution schedule varies because it is set locally and/or regionally (as indicated in 5.4.1.3). Describe:

Other. Describe:

#### 5.4.1.5 Additional factors to determine family’s co-payment.

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

No.

Yes. Check and describe those additional factors below:

Number of hours the child is in care. Describe:

Lower co-payments for a higher quality of care, as defined by the Tribal Lead Agency. Describe:

Other. Describe:

#### 5.4.1.6 Affordability of family contribution/co-payment.

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

Limit the maximum co-payment per family to a dollar amount. List the maximum dollar amount, and describe:

Limit the combined amount of co-payment for all children to a percentage of family income. List the percentage, and describe: **ASNA sets Co-Payments under 7% of family income.**

**Currently the rate is 2.5%.**

Minimize the abrupt termination of assistance before a family can afford the full cost of care (“the cliff effect”) as part of the graduated phase-out of assistance. Describe:

Other. Describe:

#### 5.4.1.7 Waiving family contributions/co-payments.

The Tribal Lead Agency may waive contributions/co-payments from families whose incomes are at or below the poverty level for a family of the same size; for families who are receiving or needing to receive protective services, as determined for purposes of CCDF eligibility; or for families who meet other criteria established by the Tribal Lead Agency (98.45(k)(4)).

Does the Tribal Lead Agency waive family contributions/co-payments? Check only those that apply:

Yes, the Tribal Lead Agency waives family contributions/co-payments for families with an income at or below the poverty level for families of the same size.

Yes, the Tribal Lead Agency waives family contributions/co-payments for families who are receiving or needing to receive protective services, as determined by the Tribal Lead Agency for purposes of CCDF eligibility.

Yes, the Tribal Lead Agency waives family contributions/co-payments for other criteria established by the Tribal Lead Agency (e.g., families experiencing homelessness, migrant workers, victims of human trafficking, families receiving TANF). Describe the criteria:  
**Waivers can be issued for families experiencing homelessness, families receiving State of Alaska Public Assistance, victims of human trafficking, and victims of domestic violence. Families will need to provide verification that they meet the stated criteria.**

No, the Tribal Lead Agency does not waive family contributions/co-payments.

5.4.1.8 Allowance of additional amounts exceeding subsidy payment.

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

No.

Yes. If yes, describe the policy and/or procedure: **Providers can set their own daily cost (amount per child/per day). If the Provider cost is higher than the ASNA rate, the client(s) will pay the remaining balance.**

**ASNA tracks this information, but does not currently have providers that set their own daily cost. This provision is included due to the high cost of living in the region.**

## 6 Ensure Equal Access to Quality Child Care for Low-Income Children (*Tribes with Medium and Large Allocations*)

### 6.1 Description of Direct Child Care Services

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

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

***Tribal Lead Agencies with large allocations are required to operate a certificate program that permits families to choose care from all three categories of care.***

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

##### 6.1.1.1 In-home care limits.

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

No.

Yes. What limits does the Tribal Lead Agency set? Check only those that apply:

Restricted based on the minimum number of children in the care of the provider due to the Fair Labor Standards Act (minimum wage) requirement. Describe:

Restricted based on the provider meeting a minimum age requirement (a relative provider must be at least 18 years of age based on the definition of eligible child care provider (98.2). Describe: **All providers must be 18 years of age.**

Restricted based on hours of care (e.g., a certain number of hours, non-traditional work hours). Describe:

Restricted to care by relatives only. Describe:

Restricted to care for children with special needs or medical conditions. Describe:

Restricted to in-home providers that meet additional health and safety requirements beyond those required by the CCDF program. Describe:

Other. Describe:

6.1.1.2 Funding direct child care services by the Tribal Lead Agency.

How does the Tribal Lead Agency fund its direct child care services? Check only those that apply:

Certificates. *(Tribal Lead Agencies with large allocations must operate certificate programs).*

Grants or contracts with approved child care providers.

CCDF-funded Tribally Operated Center.

1. Does the Tribal Lead Agency provide child care services exclusively through a Tribally Operated Center(s)?

Yes *(option available only to Tribal Lead Agencies with medium allocations).*

**Skip the rest of Section 6. Continue to Section 7.**

No. **Continue to the next question.**

6.1.1.3 Provision of grants or contracts.

CCDF direct services may be provided through grants or contracts that allocate slots with a provider who offers child care services. Does the Tribal Lead Agency use grants or contracts for child care slots to increase the supply and/or to improve the quality of child care programs (658E(c)(2)(M))?

No, grants or contracts are not used for the purposes of increasing supply or improving quality.

Yes. Grant- or contract-funded slots are used to increase the supply and/or to improve the quality of the following types of child care programs through (check only those that apply):

Providers offering Native language education or a culturally based curriculum.

Providers serving specific populations. (Please reference and complete Table 6.1.1.4 below.)

Providers serving children needing care during non-traditional hours.

Providers meeting or exceeding higher quality standards, such as programs with higher QRIS ratings or nationally accredited programs.

Providers offering bonuses, higher pay, or other financial incentives to teaching staff for reaching higher levels of education and/or qualifications.

Other. Describe:

**Table 6.1.1.4:**

<i>Grants or Contracts Are Used in Child Care Programs That Serve</i>	<i>To Increase the Supply of Care</i>	<i>To Increase the Quality of Care</i>
i. Children with disabilities	[ ]	[ ]
ii. Infants and toddlers	[ ]	[ ]
iii. School-age children	[ ]	[ ]
iv. Children needing non-traditional hour care	[ ]	[ ]
v. Children experiencing homelessness	[ ]	[ ]
vi. Children with diverse linguistic or cultural backgrounds	[ ]	[ ]
vii. Children in underserved areas	[ ]	[ ]
viii. Children in urban areas	[ ]	[ ]
ix. Children in rural areas	[ ]	[ ]
x. Other populations, please specify	[ ]	[ ]

6.1.2 Methods to Inform Families of Child Care Provider Categories

6.1.2.1 Informing families of child care provider options.

How are families informed of the option to choose from the full range of child care provider categories—for example, center-based child care, family child care, in-home child care providers, and other provider types as applicable (658E(c)(2)(A)(i); 658P(2); 658Q)? Check only those that apply:

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

6.2 Assessing Child Care Market Rates

The regulations at 98.83(d)(1)(iv) exempt all Tribal Lead Agencies from the requirement to use a market rate survey or alternative methodology to set provider payment rates because many Tribal service areas are in rural, isolated areas, making such a requirement difficult.

Although they are exempt from the market rate survey requirement, **Tribal Lead Agencies must set sufficient base payment rates to provide equal access to the full range of child care services and must set rates that cover the costs of providing higher quality care.** At a minimum, *Tribal Lead Agencies with large allocations* must operate certificate programs and are required to show how payment rates are adequate, including a description of how payment rates are established; how they support the health, safety, quality, and staffing requirements, along with the cost of providing higher quality care; and, where applicable, how they support cultural and linguistic appropriateness.

*Tribal Lead Agencies, at their option, may still conduct a market rate survey or an alternative methodology approach or use the state's methodologies to set payment rates.* If using an alternative methodology, a Tribal Lead Agency may use child care resource and referral data to assess child care costs in its service area. See <https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2018-01> for additional alternative methodology guidance.

### 6.2.1 Determining Cost of Care

#### 6.2.1.1 Cost of care by Tribal Lead Agency.

How did the Tribal Lead Agency determine the cost of care? Please indicate if any of the following sources of information were used in assessing the cost of care or price of care within the service area. Check only those that apply:

State market rate survey. State(s): Date(s) completed:

State alternative methodology. State(s): Date(s) completed:

Child care resource and referral data. Describe:

Tribal market rate survey. Date completed:

Alternative methodology. Date completed:

Other. Describe: **ASNA CCDF program contacted other tribal rural child care service areas for their rates. The ASNA CCDF rate was based on the comparison of the other Tribal Rates with a cost of living adjustment to address increased costs on the North Slope.**

### 6.3 Establishing Adequate Payment Rates

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

#### 6.3.1 Establishing Payment Rates

6.3.1.1 Describe how the Tribal Lead Agency establishes payment rates: Rates were established based on a ASNA CCDF Staff phone survey of other rural tribes that provide childcare services, plus an adjustment to account for the increased cost of living in the region.

### 6.3.2 Base Payment Rates

Tribal Lead Agencies are required to set base payment rates *at least* at a level sufficient to cover the costs to the provider of the health, safety, quality, and staffing requirements included in the CCDBG Act and Final Rule.

#### 6.3.2.1 Description of how base payment rates support needs of providers.

Describe how the Tribal Lead Agency’s base payment rates enable providers to meet the health, safety, quality, and staffing requirements under the CCDF program: **ASNA CCDF took the cost of living on the North Slope and Act requirements into account when setting the payment rates. ASNA CCDF also covers the cost of background checks, health and safety supplies and equipment, professional development, and travel expenses (airfare and lodging) for professional development for child care providers.**

### 6.3.3 Base Rates Support of Quality

#### 6.3.3.1 Description of how base rates support needs of Tribal communities.

Describe how the Tribal Lead Agency’s base payment rates support quality and meet the needs of the Tribal communities they serve (e.g., where applicable, cultural and linguistic appropriateness): **ASNA CCDF set payment rates to ensure that providers are able to provide quality care.**

**ASNA supplies quality resources for child development, supplies, hygiene, and food resources. ASNA's rates are higher than the state payment rates due to the actual costs of child care provision and living in the region.**

### 6.3.4 Payment Rates

The payment rates should reflect the variety of care offered in the Tribal Lead Agency’s program (e.g., different rates based on the child’s age, the category of care). Tribal Lead Agencies are reminded that payment rates cannot be based on a family’s eligibility, such as receiving TANF or participation in education or training. Include all payment rates and the definition of service areas in the attached payment rates.

For center-based providers and family child care providers, provide the full-time weekly base payment rate for each age group that the Tribal Lead Agency serves. If weekly rates are not published, then the Tribal Lead Agency will need to calculate its equivalent. If the payment rates differ, use the most common payment rates for center-based providers and family child care provider.

#### 6.3.4.1 Full-time weekly base payment rates for center-based care

Infant (6 months): **\$75.00 full day rate, weekly rate is \$375.**

Toddler (18 months): **\$70.00 full day rate, weekly rate of \$350**

Preschooler (4 years): **\$70.00 full day rate, weekly rate of \$350**



School-age child (6 years; Based on full-day, full-year rates that would be paid during the summer): **\$70.00 full day rate, weekly rate of \$350**

#### 6.3.4.2 Payment rates for family child care providers

Infant (6 months): **\$75.00 full day rate, , weekly rate is \$375**

Toddler (18 months): **\$70.00 full day rate, weekly rate of \$350**

Preschooler (4 years): **\$70.00 full day rate, weekly rate of \$350**

School-age child (6 years; Based on full-day, full-year rates that would be paid during the summer): **\$70.00 full day rate, weekly rate of \$350**

#### 6.3.4.3 Effective date of payment rate.

The effective date of those payment rates is: **9/6/2019** (Include tiered/differential rates in the payment rate attachment(s).)

#### 6.3.5 Tiered, Differential, or Add-On Rates

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

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

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

##### 6.3.5.1 Types of tiered payment or differential rates by Tribal agency.

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

No.

Yes. Describe each of the tiered or differential (add-on) rates that the Tribal Lead Agency has chosen to implement. Check only those that apply:

Tiered or differential rate for non-traditional hours

Tiered or differential rate for children with special needs (special needs as defined by the Tribal Lead Agency)

Tiered or differential rate for infants and toddlers

Tiered or differential rate for school-age programs

Tiered or differential rate for higher quality (quality as defined by the Tribal Lead Agency)

Other tiered or differential rates. Describe: **A 30% differential is applied for care in excess of 12 hours,**

**ASNA does not provide respite care, or care lasting 24 continuous hours or longer.**

#### 6.3.6 Payment Rates to Support Equal Access

##### 6.3.6.1 Ensuring sufficient payment rates for equal access.

How does the Tribal Lead Agency ensure that payment rates are sufficient to ensure equal access? Equal access would offer children receiving CCDF subsidies access to the same services (e.g., type of care, quality of care) as children not receiving CCDF subsidies.

To certify, check only those that apply and provide a description of the rationale that the Tribal Lead Agency used to determine equal access (658E (c)(4)(A)).

Feedback from families, including family/parent surveys or family/parent complaints. Describe:

Feedback from providers, including provider surveys or provider complaints. Describe: **Feedback from community members, providers, and tribes.**

Payment rates are set at the 75th percentile or higher of the most recent state or Tribal market rate survey. Describe:

Using tiered rates/differential rates (as described in 6.3.5) to increase access for high-need populations. Describe: **ASNA provides differential rates for care exceeding 12 hours and for care provided for special needs.**

Other. Describe:

#### 6.4 Implement Generally Accepted Payment Practices and Ensure Timeliness of Payments

**The Tribal Lead Agency must establish payment practices that apply to all CCDF child care providers in the Tribe's service area, including measures to ensure timely payments by either (1) paying**

prospectively prior to the delivery of services or (2) paying within no more than 21 calendar days of the receipt of a complete invoice for services. To the extent feasible, the Tribal Lead Agency must also support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences by (1) paying based on a child's enrollment rather than attendance, (2) providing full payment if a child attends at least 85 percent of the authorized time, (3) providing full payment if a child is absent for 5 or fewer days in a month, or (4) using an alternative approach for which the Tribal Lead Agency provides a justification in its Plan (658E(c)(2)(S)(ii); 98.45(l)(2)).

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

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

#### 6.4.1 Timeliness of Payments

##### 6.4.1.1 Ensuring timeliness of payments.

The Tribal Lead Agency must ensure the timeliness of payments by either option below. Check which option the Tribal Lead Agency is implementing:

Paying providers prior to the delivery of child care services. Describe the policy or procedure:

Paying providers within no more than 21 calendar days of the time a complete invoice for services has been received from the provider. Describe the policy or procedure: **Providers submit a complete invoice which includes an attendance log and provider timesheet to ASNA Social Services. ASNA has 21 calendar days following receipt to process the invoice and remit payment to the provider. Invoices can be submitted via mail, e-mail, or fax. Hard copies may also be submitted in person at the ASNA Social Services Office.**

#### 6.4.2 Delinking Provider Payments from Occasional Absences

To the extent feasible, the Tribal Lead Agency must support the fixed costs of providing child care services by delinking provider payments from a child's occasional absences. Tribal Lead Agencies that do not choose one of the three options listed below have the flexibility to use an alternative approach but must provide justification that the alternative approach is as thorough as the three options provided. (For example, a Tribal Lead Agency may choose to allow for additional excused

and/or unexcused absences above the level of 85 percent or allow for more than five absences and still provide for the full payment. They also may choose an alternative time period for measuring absences, such as using multiple months instead of just 1 month).

#### 6.4.2.1 Supporting fixed costs of providing child care services.

The Tribal Lead Agency must support the fixed costs of providing child care services by delinking provider payments from a child’s occasional absences. Check the option below that the Tribal Lead Agency is implementing. The lead agency must choose at least one of the following:

Paying providers based on a child’s enrollment rather than paying based on attendance.

Providing full payment to providers if the child attends at least 85 percent of the authorized time.

Providing full payment to providers if the child is absent for 5 or fewer days in a month.

Using an alternative approach for which the Tribal Lead Agency provides justification in its plan. Describe the alternative approach and provide a justification that this approach is not weaker than the three options listed above:

#### 6.4.3 Payment Practices

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

##### 6.4.3.1 Paying on a part-time or full-time basis

Paying on a part-time or full-time basis (rather than paying hourly or for smaller increments of time). Describe the policy or procedure or describe why this practice is not generally accepted: **ASNA does not use a pay per hour model. Providers are paid on a part-time or full-time basis. Part-time child care is considered as 4 hours or less per day, and Full-time child care is 4.25 hours or more per day.**

##### 6.4.3.2 Reasonable mandatory registration fees by provider.

Paying for reasonable mandatory registration fees that the provider charges to private-paying families. (This requirement does not include other fees, such as activity or transportation fees.) Describe the policy or procedure or describe why this practice is not generally accepted: **ASNA will pay mandatory registration fees for licensed child care programs.**

#### 6.4.4 Payment Disputes

The Tribal 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, such as rates, schedules, any fees charged to the providers, and the dispute-resolution process.

6.4.4.1 Describe the policy or procedure: To ensure that providers are paid in accordance with the written payment, they are provided a copy of the the payment agreement. The payment agreement form includes the following:

- the date that family's eligibility was determined.
- the date their services will expire.
- ASNA's current payment rates.
- the amount of the direct payments (co-Payment & registration fees) that will be paid by the family directly to provider.
- ASNA's CCDF Payment schedule.
- instructions for the payment dispute process.

#### 6.4.5 Notifying Providers of Eligibility Changes

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

6.4.5.1 Describe the policy or procedure: Once ASNA staff is made aware of any change to a family's eligibility status that may impact payments, they will verbally notify the provider within 24 hours. Staff will send a written follow up to the provider within three business days confirming the change. The written follow up may be sent via mail or e-mail. Staff will confirm preferred method during verbal notification.

#### 6.4.6 Payment Appeal and Resolution Process

The Tribal Lead Agency ensures it has a timely appeal and resolution process for payment inaccuracies and disputes.

6.4.6.1 Describe the policy or procedure: A payment appeal must be submitted in writing via mail, email, or fax to the ASNA CCDF Office.

A client or provider must contact the ASNA CCDF office in writing to request review of a payment for inaccuracies or to settle a dispute. If an underpayment error is identified at any point during the review process, ASNA will process a payment for the difference in the amount within 3 business days of finding the mistake. Alternatively, the provider may request that the correction amount be included with their next payment. Case notes, copies of any written communication, and the outcome of each appeal will be filed in the CCDF Appeal binder. A duplicate copy will be maintained in the appellant's file.

The initial level of appeal is review by a second ASNA CCDF Staff member. The payment and associated documentation (invoice, time logs, etc.) in question will be reviewed by a different staff member than initially processed the invoice. ASNA CCDF staff will confirm receipt of the request within 2 business days. They will review the payment and verify that the payment was processed correctly. This review must be completed within 5 business days. The results of this review will be communicated to the appellant both verbally and in writing within two business days of review completion. The next step of the appeal process, Review by ASNA Social Services Director, will be explained to the appellant, and they will have 5 business days from the day

they received verbal notice to determine if they would like to appeal the determination. The request to move to the second level of review may be made verbally or in writing.

If the client or provider disagrees with the outcome of the staff review and requests a second appeal, the Social Services Director will review the payment and associated documentation (invoice, time logs, etc.) and any information from the first review. They will request any clarifying information needed from the appellant or the reviewing staff member. They will re-verify that the payment was processed correctly. The Director's review must be completed within 5 business days. ASNA CCDF Staff will notify the appellant of the results of the Director's review both verbally and in writing within 2 business days. The final step of the appeal process, Review by the ASNA Vice President of Administration, will be reviewed with the appellant. They will have 5 business days from the day they received verbal notice to determine if they will request to move on to the final level of review. The request for review by the Vice President to must be made in writing.

ASNA CCDF staff will confirm receipt of the request for Vice President review within 1 business day of receipt. A copy of all documents and any information collected during the prior reviews will be provided to the ASNA Vice President of Administration within one business day of receipt. The originals will be held in the ASNA CCDF Office. The Vice President will review all provided information and make a final determination regarding the payment within 5 business days. The results of this final review will be communicated to the appellant both verbally and in writing within two business days of completion.

## 7 Promote Family Engagement Through Outreach and Consumer Education (Tribal Lead Agencies with Medium and Large Allocations)

**Tribal Lead Agencies are required to support families in making informed choices about the services that best suit their needs.** Tribal Lead Agencies may provide information to families through the child care assistance system, partner agencies, and other methods of their choosing.

In this section, Tribal Lead Agencies will address how information on accessing high-quality child care and other financial assistance is made available to eligible families. In addition, Tribal Lead Agencies will describe how information on developmental screenings and best practices concerning children’s development, including their social-emotional development, is shared. Tribal Lead Agencies have the option to share this information through a consumer education website targeting families receiving CCDF assistance, the general public, and when appropriate, child care providers. Tribal Lead Agencies will also describe the parental-complaint process in this section. Finally, this section addresses the consumer statement that is provided to families supported with CCDF program funds.

Tribal Lead Agencies are not subject to the requirement to produce a consumer education website, but must still collect and disseminate the provider-specific consumer education information above. Tribal Lead Agencies may do so using methods other than a website such as making paper copies of consumer education information available to the public.

### 7.1 Parental-Complaint Process

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

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

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

#### 7.1.1 Process for Reporting Complaints

##### 7.1.1.1 Process of reporting complaints by Tribal Lead Agencies.

Describe the Tribal Lead Agency’s reporting process through which parents can submit complaints about child care providers (including a Tribally Operated Center, if applicable).

Provide a link if it is a Web-based process: **Parents may submit complaints in writing by mail, e-mail ([childcare@arcticslope.org](mailto:childcare@arcticslope.org)), or fax (907-852-2761 or 907-852-9281). The mailing address is:**

**ASNA Social Services Department**

**PO Box 1232  
Utqiagvik, Alaska 99723.**

## 7.1.2 Process for Responding to Complaints

### 7.1.2.1 Process of responding to complaints by Tribal Lead Agencies.

Describe the Tribal Lead Agency’s process and timeline for screening, substantiating, and responding to complaints regarding CCDF providers. Describe whether the process includes monitoring and highlight any differences in processes for providers monitored by the Tribal Lead Agency, a state-licensing agency, or another entity or agency. *Note:* Monitoring details are referenced in section 2: **ASNA CCDF Staff will start an investigation of a complaint within 3 business days of receipt. The investigation will be completed within 30 business days. If additional time is required, ASNA CCDF staff will notify all parties involved in the investigation. Once the investigation is complete, ASNA will notify the provider of the result. If the complaint is substantiated, additional monitoring of the provider will be performed. ASNA will inspect the provider once a month for a minimum of 6 months, but no more than 9 months. ASNA will provide supportive services to assist the provider improve their quality of care.**

**If the provider fails to complete any corrective actions, ASNA may disqualify them as a provider for up to one year.**

## 7.1.3 Maintaining Parental Complaints Records

### 7.1.3.1 Maintaining a record of substantiated parental complaints.

Certify by describing how a Tribal Lead Agency, a state-licensing, or another entity or agency maintains a record of substantiated parental complaints. Highlight any differences in processes for CCDF and non-CCDF providers and Tribally regulated, licensed, and license-exempt providers. Additionally, how does the Tribal Lead Agency coordinate with a state-licensing agency, or another entity or agency to ensure that the complaint has been addressed: **Records of substantiated parental complaints are kept in duplicate. One copy is maintained in the provider file, and the second is placed in the CCDF Complaints on Providers Binder located in the ASNA CCDF Office. ASNA Child Care will coordinate with ASNA ICWA and State of Alaska licensing to coordinate home visits and interviews for allegations. ASNA Child Care will also coordinate with law enforcement and State of Alaska Licensing depending on the type of allegations.**

**ASNA will request any applicable state licensing inspection and complaint investigation results from the State.**

## 7.1.4 Providing Public Access to Substantiated Parental Complaints

### 7.1.4.1 Information about parental complaints available to the public.



Certify by describing how the Tribal Lead Agency, a state-licensing agency, or other entity/agency makes information about substantiated parental complaints available to the public upon request: **Information regarding substantiated complaints may be requested in writing from the ASNA CCDF Office. A copy of the complaint maintained in the Complaints on Providers Binder will be given to the requestor. ASNA Child Care will have a binder for any licensed child care program located in the main office. This file will contain any information for licensed centers or licensed group homes on the North Slope. Families can request information about licensed programs on the North Slope.**

## 7.2 Consumer Education for Families, Providers, and the Public

### 7.2.1 Consumer Education Accessibility and Providing Monitoring and Inspection Information

Tribal Lead Agencies are required to provide information to families, the general public, and when applicable, child care providers through a method of their choice, which is consumer-friendly and easily accessible (658E(c)(2)(E)(i)(III)). The available information must include provider-specific information, monitoring and inspection reports about the provider, and the quality of each provider (if such information is available about the provider) (658E(c)(2)(D); 98.33(a)). The information should also provide access to an annual service area report on deaths, serious injuries, and the number of substantiated cases of child abuse that have occurred in child care settings. To assist families with any additional questions, the information should provide contact information to local CCR&R organizations and any other agencies that can assist families in better understanding the information.

#### 7.2.1.1 Ensuring information is consumer-friendly and accessible.

Describe how the Tribal Lead Agency ensures that its information is consumer-friendly and easily accessible. (*Note:* Although there is no Federal CCDF definition for easily accessible, Tribal Lead Agencies may consider easily accessible information to be simple to obtain, written in plain language, and easy to understand.): **The language used will be 8th grade level or lower. ASNA CCDF Staff maintain records of all providers specific information including: inspection reports, complaints, praise, and incident reports. These documents are available for review, and may be emailed or reviewed in person at the ASNA CCDF Office. ASNA CCDF staff is available to review information with families, child care providers, and the general public upon request.**

#### 7.2.1.2 Monitoring and inspecting child care providers.

Describe how the Tribal Lead Agency informs families, providers, and the public on how the Tribal Lead Agency and/or another entity or agency conducts monitoring and inspections of child care providers (including Tribally Operated Centers, if applicable). Refer to Section 2.3 where monitoring enforcement policies and practices for CCDF providers are described: **ASNA CCDF Staff conducts monitoring and inspections of child care provider by doing at least one unannounced visit within the year of approval. This information is placed in Provider Award Letter and is reviewed with the provider during orientation. The plan is available on ASNA website to the public. ASNA will be posting the monitoring check list on ASNA website.**

## 7.3 Monitoring and Enforcement Policies and Practices for CCDF Providers

7.3.1 Dissemination of Policies and Procedures for Background Checks, Regulated Providers, and Provider Quality

7.3.1.1 Consumer information about conducting background checks.

Describe how the Tribal Lead Agency informs families, providers, and the public on the policies and procedures related to comprehensive background checks for providers/staff members of child care providers, and the offenses that prevent individuals from being employed by a child care provider or a provider from receiving CCDF program funds. (*Note:* Background check policies and processes are described in Section 2.5): **This information is included on the Child Care Provider Application, and the CCDF Plan is available on ASNA website for the public.**

7.3.1.2 Listing licensed providers.

Describe how the Tribal Lead Agency lists all licensed providers and, at the discretion of the Tribal Lead Agency, all providers eligible to deliver Tribal CCDF services. Providers caring for children to whom they are related do not need to be included. Check only those that apply:

- Not applicable, as this Tribal CCDF Program does not serve any licensed providers and the Tribal Lead Agency opts not to list all providers eligible to deliver Tribal CCDF services.
- Prepares a document with a list of providers
- Uses the state’s website link for a localized list of providers searchable by ZIP Code
- Uses a CCR&R agency to obtain lists of providers
- Other:

7.3.1.3 Quality information and reporting of quality ratings

Tribal Lead Agencies must also identify specific quality information about each child care provider for whom they have quality information. Tribal Lead Agencies may determine the type of quality information provided. How does the Tribal Lead Agency report quality ratings or other quality information included with provider-specific information? Check only those that apply:

- Not applicable, as the Tribal Lead Agency does not have a QRIS or obtain any quality information
- QRIS managed by the Tribal Lead Agency
- QRIS managed by the state
- National accreditation
- Enhanced licensing system
- Meeting Head Start/Early Head Start Program Performance Standards
- Meeting prekindergarten (preK) quality requirements

School-age standards, where applicable

Other. Describe:

### 7.3.2 Monitoring and Inspection Reporting

Tribal Lead Agencies are required to make monitoring and inspection reports available about each licensed provider and about each non-relative provider eligible to provide CCDF services. These reports must include results of required annual monitoring visits and visits due to major substantiated complaints about a provider’s failure to comply with health and safety requirements and child care policies. The reports must be in plain language (i.e., communication the audience can understand the first time they read it), as defined by the Tribal Lead Agency and must be timely to ensure that the results of the reports are available and easily understood by parents and families when they are deciding on a child care provider. Tribal Lead Agencies must provide at least 3 years of reports (when available), beginning October 1, 2019, and going forward.

#### 7.3.2.1 Describe how the reports are made available to the public.

Online (e.g., uses the state’s website link)

Hard copy by request

Require provider to post

Other. Describe:

#### 7.3.2.2 What is the Tribal Lead Agency’s definition of plain language? (Note: If states issue monitoring and inspection reports, “Not applicable, state issues monitoring and inspection reports.”) **The language used will be 8th grade level or lower.**

#### 7.3.2.3 Are monitoring and inspection reports in plain language?

Not applicable, state issues monitoring and inspection reports.

Yes.

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

#### 7.3.2.4 Monitoring and inspection report contents.

Check to certify what the monitoring and inspection reports and/or their plain-language summaries include regarding the following CCDF requirements:

Not applicable, the state issues monitoring and inspection reports.

Date of inspection

Full report of inspection, including areas of compliance and non-compliance.

Health and safety violations, including violations that resulted in fatalities or serious injuries. Describe how these health and safety violations are prominently displayed:  
**Violations will be described in detail in monitoring and inspection reports.**

[x] Corrective actions taken by the Tribal Lead Agency and/or child care provider. Describe: **If monitoring and inspection find areas of non-compliance, the associated corrective action plan will be attached to the inspection report. The corrective action plan will include the start date, end date, and notes regarding completion status.**

[x] The process for correcting inaccuracies in reports. Describe: **The provider has 30 days after receiving their monitoring reports to review and contact ASNA CCDF staff to report any inaccuracies they may find in the monitoring reports. The contact must be made in writing to [childcare@arcticslope.org](mailto:childcare@arcticslope.org). ASNA CCDF staff will confirm the receipt of the e-mail within 3 business days, and request clarification regarding the inaccuracy. If the reported inaccuracy needs to go through the appeal process, the provider will be notified in writing.**

**Inaccuracies will be corrected within 10 business days. Inaccuracies include typographical and other minor errors or inconsistencies. Changes to the timeline for corrective action plans, or claims that a violation/ non-compliance is unfounded must be addressed in the appeal process.**

[x] The process for providers to appeal the findings in reports, including the time requirements and timeframes for filing the appeal, for undertaking the investigation, and for removing any violations determined on appeal to be unfounded. Describe: **Providers must submit appeals in writing to the ASNA CCDF office either via mail or e-mail. Confirmation of appeal receipt will be sent within 1 business day to the provider. A Staff member will be assigned to review the report, appeal request, and supporting documentation within 3 business days. The assigned staff member will note any inaccuracies and oversights and determine if further action is necessary.**

**Further actions may include but are not limited to: requesting additional supporting documentation or clarification of the appeal from the provider or staff that performed the monitoring visit/ inspection, interviews, and a site visit. The staff member will summarize their findings and provide them to the ASNA Social Services Director or designee for final review. The Director will determine if the appeal is successful or unsuccessful. If the appeal is successful, any unfounded violations/non-compliances will be removed from the report, and corrective action plans and timelines revised as appropriate.**

**The provider will be notified of the final determination regarding their appeal in writing within 30 calendar days of submittal. If the appeal is successful, copies of the revised report will be provided with the notification.**

[x] How reports are made available in a timely manner. Specifically, provide the Tribal Lead Agency's definition of "timely" and describe how it ensures that reports are made available within its timeframe: **"Timely" is defined as within 5 business days.**

**Reports will be filed in the Monitoring & Inspection Binder and in the provider's file within 5 business days of completion.**

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

#### 7.3.2.5 Maintaining monitoring reports.

Describe the process for maintaining monitoring reports. Specifically, provide the minimum number of years reports are made available and the policy for record-keeping (98.33(a)(4)(iv)). (*Note:* There is a requirement that a minimum number of 3 years of reports be made available. If states issue monitoring and inspection reports, “Not applicable, state issues monitoring and inspection reports.”): **Monitoring reports filed in the Monitoring and Inspection Binder will be maintained for 3 years following completion date.**

#### 7.3.3 Aggregated Data on Serious Injuries, Deaths, and Substantiated Cases of Child Abuse

Aggregate data on serious injuries, deaths, and substantiated cases of child abuse that have occurred in child care settings each year must be made available. The data must be organized by category of care (e.g., center-based child care, family child care, in-home child care) for all eligible CCDF provider categories in the Tribal Lead Agency’s service area. The aggregate report should not list individual provider-specific information or personally-identifiable information.

Certify by describing:

##### 7.3.3.1 Submission of reports relating to serious injuries or deaths.

A description of how child care providers must submit reports of any serious injuries or deaths of children occurring in child care to the designated entity (98.16 (ff)): **Serious death or injury needs to be reported to the ASNA CCDF Office within 24 hours of the event. The provider must use the ASNA CCDF Child Care Injury/Incident Report Form and submit it via e-mail (childcare@arcticslope.org) or fax (907-852-2761). The reporting process is reviewed during provider orientation, and the form is included in the orientation packet.**

Obtaining aggregate data from the monitoring agency. A description of how the Tribal lead agency obtains the aggregate data from the entity: **ASNA CCDF Providers have 24 hours to notify ASNA CCDF staff of any serious injury or death.**

##### 7.3.3.2 Definition of “substantiated child abuse”.

The definition of “substantiated child abuse” used by the Tribal Lead Agency for this requirement: **ASNA CCDF program will utilize the State of Alaska's Child Care Program Office (CCPO) definition for substantiated child abuse and neglect.**

**The Child Care Program Office (CCPO), defines substantiated child abuse and neglect as the act or failure to act on the part of a parent or caretaker, which results in death, serious physical or emotional harm, sexual abuse of exploration, or an act of failure to act which presents an imminent risk of harm.**

7.3.3.3 Definition of “serious injury”.

The definition of “serious injury” used by the Tribal Lead Agency for this requirement: **ASNA CCDF program will utilize the State of Alaska's Child Care Program Office (CCPO) definition for serious injury.**

**The Child Care Program Office defines serious injury as: injury requiring surgery; injury requiring admittance to hospital; choking/unexpected breathing problems; unconsciousness; concussion; poisoning; medication overdose; broken bone; severe head or neck injury; chemical contact in eyes, mouth, skin, or ingestion; severe burn; allergic reaction requiring administration of Epi-Pen; and seizures.**

7.3.4 Contact Information for Referrals

The consumer education information should include contact information for referrals to local child care resource and referral organizations.

7.3.4.1 Providing CCR&R referrals.

How does the Tribal Lead Agency provide referrals to local CCR&R agencies through the consumer education information? Describe: **ASNA CCDF uses Thread Alaska to provide referrals to local CCR&R agencies.**

**Anchorage (Lead Office)**

**3350 Commercial Dr, Suite 203  
Anchorage, AK 99501  
9 am - 5 pm, Monday - Friday  
Phone 907.265.3100  
Toll Free 800.278.3723  
Fax 907.265.3191  
Toll Free Fax 877.563.1959  
info/at/threadalaska.org**

**Fairbanks (at Thrivalaska)  
Child Care Resources & Referrals  
1908 Old Pioneer Way  
Fairbanks, AK 99709  
9 am - 5 pm, Monday - Friday  
Resource Phone 907.479.2214  
Referral Phone 907.479.2204  
Toll Free 866.878.2273  
Fax 907.479.2486  
threadCCA@thrivalaska.com**

7.3.5 Contact Information for Consumer Education Information

#### 7.3.5.1 Consumer education information.

The consumer education information should include how families can contact the Tribal Lead Agency, its designee, or other programs that can help the parent understand the information included. Describe: **ASNA CCDF staff is available to provide assistance including review information with parents and families. Requests for assistance may be made by contacting the ASNA CCDF Office. Contact information is below:**

**ASNA Social Services  
PO Box 1232  
7000 Uula Street  
Utqiagvik, AK 99723  
Phone: 907-852-9379  
Toll Free: 1-800-478-3033  
Fax: 907-852-2761 or 907-852-9281  
E-mail: [childcare@arcticslope.org](mailto:childcare@arcticslope.org)**

#### 7.4 Additional Consumer and Provider Education

**Tribal Lead Agencies are required to certify that they will collect and disseminate information about the full range of child care services to promote parental choice to parents of eligible children, the general public, and where applicable, child care providers.** The consumer education information can be provided through CCR&R organizations or through direct conversations with eligibility case workers and child care providers. Outreach and counseling can also be effectively provided via information sessions or intake processes for families (658E(c)(2)(E); 98.15(b)(4); 98.33(b)).

##### 7.4.1 Availability of Child Care Services

###### 7.4.1.1 Information and availability about child care services.

Describe how the Tribal Lead Agency shares information with eligible families, the general public, and where applicable, child care providers, about the availability of child care services provided through the CCDF program and other programs for which the family may be eligible, such as state or Tribal PreK, and the availability of financial assistance to obtain child care services. Check only those that apply and describe what information is provided.

- Tribal newsletter
- Social media
- Website
- Intake process
- CCR&R organization
- Information sessions
- Tribal meetings

Other. Describe: **ASNA Social Services hosts a table/booth at community events sponsored by ASNA, Ilisagvik College, and other local partners to provide information on the different services available. The information on services available includes the Child Care program, as well as the availability of financial assistance to obtain child care services. At these events, the staff have outreach materials (brochures) and program applications available. Staff can assist the families with completing applications, and answer any questions that may arise. ASNA CCDF staff also periodically participate in the ASNA/SSMH weekly hour long radio show to discuss the availability of financial assistance and the services that the CCDF program can provide. When the Social Services Department sponsors a community event the CCDF program is advertised through handing out brochures and flyers to all parents of the children who participate.**

**ASNA ICWA staff provide a resource folder outlining the services and programs available to families when they do home visits. This includes information on the CCDF program and an application for assistance. CCDF Program Fliers are also distributed to each tribal village office so they can be posted throughout their village.**

#### 7.4.2 Dissemination of Program Information

##### 7.4.2.1 Dissemination of program information to families, the public and providers.

Describe how the Tribal Lead Agency provides the required information about the following programs and benefits to the parents/families of eligible children, the general public, and where applicable, child care providers. Within the description include, at a minimum, what information is provided, how the information is provided, and how the information is tailored to a variety of audiences, including parents/families, the public, and providers. Include any partners who assist in providing this information. Check only those that apply:

Temporary Assistance for Needy Families program: **Clients are referred to the State of Alaska Public Assistance Program.**

**There are State of Alaska Fee Agents located at the hospital. They travel to all villages to assist clients with applying for Temporary Assistance, Food Stamps, Medicaid/Medicare and other low-income programs that the state may have available.**

Head Start and Early Head Start programs:

Low Income Home Energy Assistance Program (LIHEAP):

Supplemental Nutrition Assistance Programs (SNAP): **Clients are referred to the SNAP Program.**

**There are State of Alaska Fee Agents located at the hospital. They travel to all villages to assist clients with applying for Temporary Assistance, Food Stamps, Medicaid/Medicare and other low-income programs that the state may have available.**



Women, Infants, and Children (WIC) Program: **Clients are referred to the North Slope Borough WIC Program.**

Child and Adult Care Food Program (CACFP):

Medicaid and Children’s Health Insurance Program (CHIP): **Clients are referred to the CHIP program.**

**There are State of Alaska Fee Agents located in the hospital. They travel to all villages to assist clients with applying for Temporary Assistance, Food Stamps, Medicaid/Medicare and other low-income programs that the state may have available.**

Programs carried out under Individuals with Disabilities Education Act (IDEA) Part B, Section 619, and Part C: **Clients will be referred to:**

**ACCA 1020 Barnette St, Fairbanks, Alaska, phone number 907-456-4003.**

**North Slope Borough District Special Education Dept. 907-852-5311**

#### 7.4.3 Information on Child Development Research and Best Practices

Describe how the Tribal Lead Agency makes information available to families, providers, and the general public on research and best practices concerning children’s development, including physical health and development, particularly healthy eating and physical activity. Information about successful parent and family engagement should also be shared.

7.4.3.1 Describe what information (content) is provided: **ASNA provides information regarding best practices including physical health and development, particularly healthy eating and activities in a variety of ways. ASNA, as a tribal health organization, provides information to the entire community as part of its core mission through physician, nursing and prevention activities. This includes the provision of camps emphasizing physical activity and healthy eating for the youths in each of the communities. Additional information is provided during announced and unannounced visits as well as outreach community activities. Parent and families both enrolled in the program and those that are not provided with information about development during these communities events. Providers receive education both through these events and through the mandated orientation, classes and trainings. ASNA provide child development, physical health, and healthy living resources to the public through outreach of Sammual Simmonds Memorial Hospital. We have medical providers that travel throughout this region providing resources and services to community members. ASNA Social Services coordinates with our communities, state agencies, school district, and tribes to provide referral services for children's developmental stages to ensure the healthy development of the children throughout the North Slope. We coordinate with our Parents as Teachers program to support child development and utilize the Ages and Stages assessment. ASNA social services utilize their Behavioral Health Aides to provide mental health and prevention services throughout the North Slope. This program supports families and delivers home based services.**

7.4.3.2 Describe how the information is provided. Check only those that apply:

- Verbally
- Newsletter
- Website
- Classes or training
- Brochure
- Other:

7.4.3.3 Information to audiences, including parents, families, providers, and the general public.

Certify and describe that the information is tailored to a variety of audiences, including parents, families providers, and the general public. **ASNA provides it's information to the entire community including parents, families, providers, prospective providers, children and the general public. All the activities, with the exception of provider specific trainings, are open and provided to the entire community. Information provided to the communities via newsletter is distributed to all ASNA stakeholders and our website is available to anyone.**

7.4.3.4 Identify any partners in providing this information. Check only those that apply:

- Other Tribal department
- Indian Health Services
- State
- Head Start and Early Head Start programs
- SNAP
- WIC program
- CACFP
- Other:

7.4.4 Information on Policies Regarding Social-Emotional and Behavioral Issues and Early Childhood Mental Health

7.4.4.1 Providing information on early childhood mental health.

Describe how information is shared on the Tribal Lead Agency’s policies regarding social-emotional and behavioral issues and early childhood mental health. Include how the Tribal Lead Agency shares information on positive behavioral intervention and supports models, based on research and best practices for those from birth to school-age. Describe what and how information is provided and tailored to a variety of audiences and include any partners in providing this information. Tribal Lead Agencies that rely on states to provide this information may include the website provided to families instead of a full description of the content: **ASNA has partnered with the North Slope Borough School District (NSBSD) to develop and implement the Progressive Behavioral Interventions and Supports, a class room support program backed by research. This support is intended to have the NSBSD provide seamless communications**

between the schools, families, and providers. The policy regarding social-emotional and behavior issues is shared with the providers and families during their orientation. Additional information regarding this topic is also provided via the thread website operated by the state of the Alaska. The information is tailored to the parents by the school district and in our policy, providers are able to access the best practices via the state of Alaska thread website.

ASNA also operates a Behavioral Health Aide (BHA) program via the Alaska Native Tribal Health Consortium. ASNA is able to provide BHA support to the families via our Healthy Family Advocates and BHA's . They are able to provide personalized and individual support to the families who encounter behavioral and social-emotional issues. The BHA's are able to provide support through Parents as Teachers program. This program works with children birth to eighteen providing mental health prevention services, child development services, referrals to clinical services, and able to complete the Alaska Mental Health Assessment.

#### 7.4.5 Preventing the Suspension and Expulsion of Children from Birth to Age 5

##### 7.4.5.1 Policies to prevent suspension/expulsion of children from birth to age 5.

Describe the Tribal Lead Agency's policies to prevent the suspension and expulsion of children from birth to age 5 in child care and other early childhood programs receiving CCDF program funds (98.16(ee)), including how those policies are shared with families, providers, and the general public: **In the history of the CCDF program, ASNA has not had an issue requiring the suspension/expulsion of a child. ASNA has successfully been able to intervene and provide support to the families in both the CCDF program and in the schools in order to prevent this occurrence. ASNA does have a policy to support the provider and child if supports fail, or if the child is suspend/expelled. It has never been needed but is communicated to the providers and families during orientation, when they are provided with a copy. ASNA child care providers are able to make a referral for assistance of any children who might be experiencing behavioral concerns within their program. ASNA will help coordinate education resources, meeting with the family, and helping coordinate successful services. ASNA attempts to at all cost preserve continued childcare but if the provider is unable to continue providing services, ASNA will assist the family in finding another alternative provider. ASNA is able to provide support to the family through our behavioral health program to support the provider, family and child. ASNA works closely with the NSBSD to support children and can support referrals within our social services.**

#### 7.5 Procedures for Providing Information on Developmental Screenings

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

required to provide this information to eligible families during CCDF intake and to child care providers through training and education (98.33(c)).

7.5.1 Certify by Describing Developmental Screenings:

7.5.1.1 Collection of information on resources for developmental screenings.

How the Tribal Lead Agency collects and disseminates information on existing resources and services available for conducting developmental screenings to CCDF families, the general public, and where applicable, child care providers (98.16(j), 98.33(c), and 98.83(d)(1)(i)): **Developmental Screenings are provided by the North Slope Borough School District in their K-3 program where developmental specialist are available. Additionally, ASNA provides the Ages and Stages Questionnaires to all parents as part of the Parents as Teachers program. This questionnaire is a designed be used by lay individuals to potentially identify developmental delays and issues. When the tools so indicate, ASNA is able to refer the child to be assessed by the NSBSD. The tool is available to all parents who need this support after a short training, including family members, providers, and members of the public. ASQ are part of the Parents as Teachers curriculum and available to all families. ASNA is also able to make referrals to SSMH and North Slope Borough Health Department.**

7.5.1.2 Procedures for families and child care providers to the EPSDT program.

The procedures for providing information on and referring families and child care providers to the EPSDT program under Medicaid and developmental screening services available under Part B and Part C of the IDEA: **Information regarding developmental services as well as referral resources for support services are provided when the individual is trained in the Ages and Stages Questionnaires. This includes but is not limited to the Stone Soup Group who provides advocacy services for children with disabilities. ASNA also leverages its relationship with the North Slope Borough School District to advocate for the children and families in our program to receive the needed developmental screenings and subsequent services. ASNA SSMH medical team is able to provide screening for children ages birth to 3 years of age. They also travel throughout the North Slope to provide these services. ASNA Social Services utilizes the screening tool called Ages and Stages to ensure adequate development of children. SSMH and North Slope Borough Health Department provide screening to children throughout the North Slope. ASNA Social Services coordinates with these providers to ensure healthy child development. These services are available to all children.**

7.5.1.3 Providing families information on developmental screenings.

How does the Tribal Lead Agency provide information on developmental screenings to families receiving a subsidy as part of the intake process?

1. Describe what information is provided: **The information regarding developmental screenings, the families rights, and the tools available to the family are provided during orientation as a handout and discussed verbally during the training for the Ages and Stages Questionnaires tool.**
2. Describe how it is provided. Check only those that apply:

Verbally during the intake process

Brochure or other written information given during the intake process

Other:

3. Identify any partners involved:

EPSDT program available under Medicaid

Part B and Part C IDEA programs

Head Start and/or Early Head Start programs

Other: **The North Slope Borough School District and the Stone Soup Group provide advocacy and assessments to our families and providers.**

7.5.1.4 Resources and services to obtain developmental screenings.

How CCDF families or child care providers receiving CCDF can use the available resources and services to obtain developmental screenings for CCDF children at risk for cognitive or other developmental delays: **Developmental screenings are available free of charge via the North Slope Borough School District. Additional screenings can be provided by ASNA medical staff who may also provide a referral to a specialist who can perform the testing required at ANTHC or a private provider.**

7.5.1.5 Information through training and professional development.

How child care providers receive this information through training and professional development: **Child care providers are given information regarding developmental screenings during orientation and the Ages and Stages Questionnaires tool is available to the provider upon request. The training in the tool is provided as part of professional development. Resources are included in the orientation packet.**

7.6 Consumer Statement for Families Receiving CCDF Program Funds

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

- Health and safety requirements met by the provider
- Any licensing or regulatory requirements met by the provider
- The date the provider was last inspected
- Any history of violations of these requirements
- Any voluntary quality standards met by the provider

It must also describe:

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

*Note:* If the consumer statement is provided electronically, Tribal Lead Agencies should consider how to ensure that the statement is accessible to families and that families have a way to contact someone to address questions they have.

#### 7.6.1 Certify by describing Consumer Statement contents and how received by families

##### 7.6.1.1 Provision of Consumer statement for families.

How the Tribal Lead Agency provides families receiving CCDF program funds with a consumer statement. Check only those that apply:

- Hard copy
- Referral to a website(s), including state website
- Combination of hard copy and a website(s)
- Other. Describe:

##### 7.6.1.2 Consumer statement elements.

What is included in the consumer statement? Check those that apply or provide a sample in the describe box below. Tribal Lead Agencies that disseminate a state’s consumer statement may select “other” and include a sample or a link to the state consumer statement in the describe box.

*(Note:* The consumer statement must include the eight requirements listed below.)

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

Other. Describe:

7.6.1.3 Consumer statement provided to families.

When is the consumer statement provided to families receiving CCDF program funds? **The consumer statement is provided to families when they receive their approval of eligibility.**

<b>Appendix 1</b>
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### Triennial Child Count Declaration

If the **Tribal Lead Agency is not a Consortium**, complete the information below.

Name of Tribe/Tribal Lead Agency: **Arctic Slope Native Association**

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

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

The counts above show the number of Indian children younger than age 13 as of (date).

Tribal Lead Agencies are advised that ACF will not accept Child Count Declarations based on child counts that were conducted before July 1 of the year prior to the Child Count Declaration.

If the **Tribal Lead Agency is a Consortium**, complete the information below.

Name of Tribe/Tribal Lead Agency: **Arctic Slope Native Association**

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

The counts below show the number of Indian children younger than age 13 as of **6/28/2022** (date).

This certifies that the number of Indian children (as defined in CCDF Plan) who reside on or near the reservation or service area (as defined in CCDF Plan) for the Consortium Lead Agency and each Consortium Member are:



Consortium Member	Mandatory Count of Children Less than 13 Years Old	Discretionary Count of Children Less than 13 Years Old	Declaration Letter for Each Consortium Member (attach letter)
Native Village of Barrow	1218	0	Document was provided by TLA
Anaktuvuk Pass	156	156	Document was provided by TLA
Atqasuk	35	35	Document was provided by TLA
Kaktovik	89	89	Document was provided by TLA
Nuiqsut	191	191	Document was provided by TLA
Point Hope	175	175	Document was provided by TLA
Point Lay	76	76	Document was provided by TLA
Wainwright	197	197	Document was provided by TLA

**Indian Child Definition**

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

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

The Tribal Lead Agency defines an “Indian child” as: **The Tribal Lead Agency defines Indian child as: Demonstrate written proof of least one or more criteria: 1) Certification of American/Indian/Alaska Native Blood; 2) Descendant who is eligible for enrollment on a Federally Recognized Tribe; 3) BIA Certificate; 4) A Adopted child, foster child or a step child whose parents, step-parent or foster parent is a member of a federally recognized tribe.**

**Indian Reservation or Service Area**

Programs and activities are to be carried out for the benefit of Indian children living on or near the Indian reservation or service area. The service area must be within reasonably close geographic proximity to the borders of a Tribe’s reservation (except for Tribes in Alaska, California, and Oklahoma). Tribes that do not have reservations must establish service areas within reasonably close geographic proximity to the area

where the Tribe’s population resides. There is an expectation that the Tribal Lead Agency will be able to provide services to families throughout the service area. ACF will not approve an entire state as a Tribe’s service area. Tribal Lead Agencies can limit services within the reservation boundaries or go beyond the reservation boundaries.

If a Tribal Lead Agency establishes a different service area than the borders of the Tribe’s reservation or existing service area for CCDF purposes, it must be within reasonably close geographic proximity (658O(c)(2)(B); 98.80(e); 98.81(b)(2)(ii); 98.81(b)(3)(ii); 98.83(b)); for example, “Permanent residence is within the reservation boundaries; however, the participant is temporarily attending school outside of the reservation area,” or “[the participant] resides within 20 miles of the reservation boundaries.”

The Tribal Lead Agency defines the Reservation/Service Area as: **The Tribal Lead Agency defines the reservation or service area as: ASNA service area is approximately 89,000 square miles within the North Slope Borough, 10 miles surrounding the participating member Tribes ( Anaktuvuk Pass, Atqasuk, Barrow, Nuiqsut, Kaktovik, Point Lay, Point Hope and Wainwright) bordered on the south by the foothills of the Brooks Range, the Arctic Ocean on the north, Canada's Yukon Territory on the east and the Chukchi Sea on the west.**

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**Official Signature** of Individual Authorized to Act for the Tribe

Date:

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Print Name

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Print Title

## Appendix 2

The Tribal Lead Agency is applying for participation in the Tribal Early Learning Initiative.

Yes       No

### Tribal Early Learning Initiative

This appendix offers interested Tribal CCDF lead agencies the opportunity to describe how the Tribal CCDF program funds will be used, particularly quality funds, to support applicable child care services for Tribal Early Learning Initiative (TELI) efforts in the community. This initiative is voluntary, and Tribal CCDF lead agencies are not required to complete this section if they are not interested in pursuing TELI efforts. The TELI activities must be allowable under the use of CCDF program funds.

A Tribal Early Learning Initiative (TELI) effort in a Tribal community is designed to:

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

To submit a request to support applicable TELI efforts, complete the questions below.

1. Describe which early childhood program partners will collaborate on the TELI effort (e.g., Head Start/Early Head Start, Tribally run early childhood program, home visiting program, Bureau of Indian Education FACE program) and what the existing level of collaboration is across these early childhood partners at the start of the TELI effort. Are there other programs you intend to partner with (e.g., child welfare, health, mental health, nutrition, family support, housing)?

2. Check and describe the activities for which you will use Tribal CCDF program funds to support the TELI effort:

Hiring a TELI Coordinator (part time or full time) to provide coordination, facilitation, and administrative support to the TELI effort.

- What will be the qualifications of this individual?

Describe:

- What will the coordinator's responsibilities be?

Describe:

- [ ] Convening an early childhood council or advisory group to guide the TELI effort and develop the community’s vision for an early childhood system that meets the needs of young children and their families.

- Who do you intend to involve in the TELI advisory group? Is it a new group or an existing group? How will the group be used?

Describe:

- [ ] Conducting a needs assessment examining the need for early childhood services (ages 0 to 5), the ways that early childhood services are delivered, and barriers to the coordination and integration of services.

- What will the Tribal Lead Agency look at in the TELI needs assessment?

Describe:

- How will the Tribal Lead Agency carry out the needs assessment? Who will be involved?

Describe:

- [ ] Developing a vision and strategic plan for supporting and strengthening early childhood services and systems in the community.

- What will be the process for developing the strategic plan?

Describe:

- [ ] Investing in a coordinated data system to allow for the collection, housing, and sharing of data across early childhood programs to support improved services to families.

- Are you developing a new system or modifying an existing system?

Describe:

- Who will be involved in developing the data system?

Describe:

- [ ] Conducting professional development activities that support the range of early childhood providers in the community.

- What types of activities will be held?

Describe:

- Which programs and providers will be involved?

Describe:

- [ ] Developing coordinated application, referral, and intake systems across programs that make it less burdensome for families to access early childhood services.
  - Which programs will be involved?  
Describe:
  - What will be the process for developing a coordinated application, referral, and intake system?  
Describe:
  
- [ ] Implementing family engagement and leadership activities in the community.
  - What types of activities will be implemented?  
Describe:
  - Which programs will be involved?  
Describe: