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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: Shinnecock Indian Nation**

*FFY 2023–2025*

*Plan Status: Approved as of 2023-05-24 20:37:12 GMT*

This Plan describes the Child Care and Development Fund (CCDF) program to be administered by the Tribal Lead Agency for the period from 10/1/2022 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:

**Shinnecock Indian Nation**

Name of Tribal Chair, President, or Leader: **Bryan Polite**

Title: **Chairman**

Address: **100 church street**

City, State, ZIP Code: **Southampton, New York, 11969**

Telephone number: **6313184853** Ext:

Email address: **natahnedennis@shinnecock.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)
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\*\*\*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:

### 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: **Wunnechanunk Shinnecock Preschool**

Web address for Tribal Lead Agency (if any): <https://www.wunnechanunkpreschool.com/>

### 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: **Natahne Dennis**

Title: **Director of Wunnechanunk Shinnecock Preschool**

Mailing address: **100 church street**

Physical address (if different than mailing address): **2 Nation Way**

Phone number: **6313184853** Ext:

Cell phone number: **6312762981**

Email address: **natahneDennis@shinnecock.org**

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

Name of Tribal CCDF Co-Administrator/Assistant Administrator: **Denise (Merchant) Williams**

Title: **Co-Administrator**

Mailing address (if different from above): **100 church street**

Physical address (if different than mailing address): **2 Nation Way**

Phone number: **6313184853** Ext:

Cell phone number: **5169417115**

Email address: **dmsinnecock@gmail.com**

### 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: **The Tribal Lead Agency has consulted with varied representatives of general purpose and Tribal government in an effort to conduct a public hearing. Comment and input from these sources have contributes to the**

formation of a hierarchy of community concerns and assisted with the identification of community childcare needs.

The Tribal Lead Agency has established and will continue to hold regular meetings with all childcare agents of the Shinnecock Nation. This includes, but is not limited to the Wuneechanunk Shinnecock Preschool, (WSP) Indian Education after-school program (IEd) and the Shinnecock Boys and Girls Club (SBGC). WSP, before and after school care will remain as the priority of CCDF services, while the IEd and SBGC will receive supplemental support.

In addition, the TLA meets with the Council of Trustees, other departments of relevance, such as the Culture and Language, Environmental, Health and Community Concerns in an effort to identify current and ongoing childcare needs. The Mental Health, and Drug and Alcohol abuse departments have also been met with in this effort.

The BIE's Parent Education Committee as well as Public School Districts have also been a part of the process to identify child care needs, and supports that enable children to be successful while in school.

Lastly, a community survey created by TLA has been shared with the community in an effort to identify childcare needs. Additional Data from community surveys has also been considered: Mental Health care needs, housing and living conditions, as well as substance abuse housing needs.

#### 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): **1/6/2023**

1.4.2.2 Date(s) of public hearing(s) (no earlier than January 1, 2022): **1/26/2023**

1.4.2.3 Location(s)/ of the public hearing(s), including virtual: **Wuneechanunk Shinnecock Preschool building.**

1.24.2.4 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:

#### 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 (select one):

No input was received.

Input was incorporated into the plan in the following ways:..

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: **The Tribal Plan will be available on the Wunnechanunk Shinnecock Preschool as well as the Tribal Nation's website.**

**Hard copies will be available at all of the tribal childcare locations: WSP, SBGC and In.Ed.**

**Links to the Tribal Plan will be provided upon request, as well.**

#### 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: A child under the age of 13 who has at least one parent enrolled in 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 (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.”

1.5.2.1 The Tribal Lead Agency defines the Reservation/Service Area as: Residence on the Shinnecock Territory, in Southampton, New York 11968 or the surrounding townships of Suffolk County, New York.

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 not 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.)
  - 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)

## 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.

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: **The TLA will work with the Nation and the IHS to ensure that the health needs of children are met, and immunizations are current.**
  
- Employment services/workforce development. Description/Results: **Currently, the TLA is working with Bluestone Consultants to identify means to identify and support families in their efforts to be gainfully employed or pursue trainings to develop skills. Additionally, TLA is working with the Tribal division of the Census Bureau to utilize data to further the goals of the TLA., regarding underserved demographics, hierarchy of vocational areas that are under represented such that supports can be extended to community in order to be gainfully employed with appropriate trainings.**
  
- Public education. Description/Results: **Communication with the Local LEA's, COT Trustee with educational oversight, as well as the SBGC and Indian Education programs (on-territory after school and summer child care providers) through routine department meetings.**
  
- Temporary Assistance for Needy Families program. Description/Results:
  
- Child care licensing. Description/Results: **The TLA will support CDA obtainment with staff who commit to working with the relevant programs.**
  
- 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: **The TLA has adopted and implemented the emergency management and response standards of Early Head Start. The TLA works with the Tribal Public safety, emergency response team, Tribal leadership, and local emergency agencies to continuously update and train staff and volunteers in our emergency management and response plan.**
- Child and Adult Care Food Program (CACFP) and other relevant nutrition programs. Description/Results:
- 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: **The McKinney-Vento coordinators of the Nation and the school districts will collaborate to ensure all governing policies of McKinney-Vento are in place. The Shinnecock Nations agencies with ICWA and childcare health oversight will also be met with consistently.**
- Agencies responsible for Medicaid and the State Children’s Health Insurance Program. Description/Results:
- Mental health services. Description/Results: **Coordinate with Community mental health providers to review implemented surveys , in addition to the regular meetings where meaningful discussions are held regarding community health needs and its impact on the families and children. resulting data is including in the identity and priority of services to be considered.**
- Child care resource and referral agencies, child care consumer education organizations, and providers of early childhood education training and professional development. Description/Results:
- 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: **Children who are court supervised or appointed.**

## 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: **Improper payments once identified, will be forwarded to the Tribal governing agent, such as the Trustee with Financial oversight, or the Executive Director of Tribal Operations, Director of Finance and the office of the Procurement to develop a plan to remediate the oversight.**

#### 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: \$ **100.00**
- 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: **The collection of improper payments resulting from fraud will be forwarded to the Trustee of Oversight of Finances, T?he Finance Director and the Executive Director of Tribal Operations, and the Office of Procurement (for future business dealings considerations). The company or person of topic with the fraudulently suspected behaviors will be notified, and all business will be halted pending a detailed investigation. Final outcome and findings will be shared with the above vested stakeholders. A summary action will then be recommended and after discussion a final resolve will be approved by the Chairman or his/her designee.**

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: \$ **100.00**
- 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: **Work to develop an acceptable plan with all vested stakeholders to include Procurement, the Director of the impacted child care setting, trustee of oversight (where appropriate and if necessary) and finance department. Recovering improper payments from unintentional errors/program violations will first be identified, in writing the the**

parties benefitting from these errors in a hopes of voluntary resolution. A final summary of concerns and steps taken to resolve will be shared with all parties involved. If the situation does not resolve, the COT will determine a final action to take.

## 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: **Through coordination with the Lead Agency's supporting departments throughout the nation, including Emergency response team, public safety, council of trustees, executive director, and the nation's health services. The TLA will also welcome input from other programs servicing children within eligible age range such as the Boys and Girls Club of Shinnecock, Shinnecock Indian Education Program.**

### 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: **Our goal is to provide continued childcare services to our community in line with all safety procedures recommended by the Centers for Disease Control and Prevention (CDC), Tribal Officials, and all Nationwide Mandates set forth by Congress, unless the Level 1 State of Emergency is declared by the Council of Trustees mandating evacuation and closure. There are 3 levels of emergency: level 3 being state of awareness which the center operates normally under strict health and safety protocols, Level 2 state of emergency which still allows for in-person normal operations with additional protocols put in place such as no visitors, staggered scheduling and cohorts, and level 1 state of emergency which closes all on-site operations and transitions to remote operations until this level of emergency is lifted by the Tribal officials and/or local or nationwide governing officials. During remote operational phases, teachers are required to provide consistent support to parents/guardians through daily check-ins, age appropriate virtual lessons, and access emergency support to parents in need of necessities such as diapers/formula, nutritional meals, etc. In more extreme or extended closures, WSP has successfully implemented a voucher program that**

**provided alternative childcare options for families.**

### 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: **During a level 1 state of emergency which closes all on-site operations and transitions to remote operations until this level of emergency is lifted by the Tribal officials and/or local or nationwide governing officials. During remote operational phases, teachers are required to provide consistent support to parents/guardians through daily check-ins, age appropriate virtual lessons, and access emergency support to parents in need of necessities such as diapers/formula, nutritional meals, etc. The TLA has also successfully implemented a voucher program during extended closures which provided the option of alternative childcare options.**

**Once it is deemed safe for the TLA to resume normal operations, this is communicated through the center's Brightwheel app, Tribal e-blasts, and social media pages. The WSP Director, WSP security person, and tribal public safety and emergency team and will then review the process of emergency response and make any necessary changes to ensure that all health and safety measures are in place and in compliance to the Emergency preparedness standards.**

### 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.)*

#### **BASIC PLAN**

##### **A. Situation:**

1. The Wuneechanunk Shinnecock Preschool located at 2 Nation Way, Southampton, NY 11968. The site consists of two (2) buildings known as the child care center itself and a garage office. There is an Average attendance of 24 children and 14 regular staff. Substitute members may be called in if needed. Hazards of the center grounds buildings and surrounding community includes [insert hazards] (get information from county emergency manager and local emergency responders).

2. The Preschool Director / Executive Director must develop and implement the site Emergency Response Plan in alignment with Tribal and Federal/State health and safety policies.

3. WSP Staff members are trained to handle most site emergencies independently with instructions to retrieve the assistance of local fire and law enforcement if needed.

**B. Assumptions:**

a. During an emergency, centralized direction and control [i.e., senior staff] is the most effective approach to management of emergency operations.

b. if an emergency occurs that is beyond the capabilities of the WSP Staff to handle, administrative staff will coordinate with local emergency response agencies. This may include having a member or members act as liaison with responding agencies.

**C. Command and Communications:**

1. The order of succession for the Wuneechanunk Shinnecock Preschool emergency response program is:

- ☑ The Preschool Director
- ☑ The Assistant Director
- ☑ WSP Security Person
- ☑ The Executive Director
- ☑ Shinnecock COT Chairperson

2. When an emergency condition exists, the Preschool Director will notify WSP personnel to respond to their area of assignment. The methods of communication listed below in descending order will be used with ☑a☑ being the primary mode of communication followed by alternative modes.

- a. Telephone
- b. Two-way radios
- c. Intercom
- d. Runners
- e. Panic button
- f. Brightwheel App for parent/school communications

**D. Staff Response Roles:**

- 1. How a program manages and responds to a crisis greatly affects the public's perception of the organization.**
- 2. The Mayor, Judge, Sheriff, County Emergency Manager or Tribal Chairperson may make a Declaration of a State or Local Emergency for a disaster or potential disaster in Suffolk County. The declaration would be issued from the Emergency Operations Center.**
- 3. Advisories for internal disasters would be issued by the Preschool Director, Tribal Executive Director, or Tribal Council of Trustees. If none of the preceding is present, the Assistant Director is in charge may declare an emergency and then promptly notify the appropriate Management Team member. The agencies Emergency Response Team will consist of three groups:**
  - a. The Administrative Group consists of the Director / Assistant Director and office staff that provides the support framework for the preschool. This group is responsible for:**
    - 1. Emergency Response Plan Oversight**
    - 2. Incident Command**
    - 3. Public Relations**
    - 4. Human Resources**
    - 5. Media Information Release**
    - 6. Finance**
    - 7. Long Term Recovery**
  - b. The Support Group includes individuals that provide support to teachers and students such as food service, maintenance and safety personnel. This group may include parents and volunteers and is responsible for:**
    - 1. Food Service**
    - 2. Site Safety**
    - 3. Building Operations**
    - 4. Transportation**
    - 5. Short Term Mitigation**
  - c. The Teachers Group consist of those whose daily duties involves direct care for the students. This group is responsible for:**
    - 1. Providing and Receiving Information**
    - 2. Student Accountability (attendance)**
    - 3. Classroom Security**
    - 4. Classroom Evacuation**

4. If an emergency occurs all staff persons are to assume responsibility for these actions:

1. Initiation of steps to safeguard the children, staff and property
2. Notification of authorities and center staff
3. Initiation of steps to mitigate or contain the situation
4. Implementation of evacuation procedures

5. In addition, the Preschool Director, Assistant Director, and/or Tribal Executive Director will assume the role of incident commander for all emergencies and or disasters.

#### E. Debriefing:

Because the demands of responding to a crisis are intense and place staff under a great deal of stress, it is advisable to engage staff in a "debriefing". This process should be undertaken with a trained professional. The debriefing allows staff to express feelings and receive emotional support. For others, it provides the opportunity to learn and to become better prepared for crisis.

#### F. Deactivation:

When emergency conditions are stabilized and normal program operations can resume, Preschool Director will deactivate the Crisis/Emergency Plan. A formal announcement will be disseminated. If the nature of the incident requires an extension of some emergency services, special work groups may be appointed to coordinate those continuing activities, which may include:

1. Ongoing repairs,
2. Space re-assignments or adjustments,
3. Support services for children, staff and parents,
4. Community relief efforts,
5. Cost recovery (develop cost and loss documentation forms).

Immediately following the end of an emergency or crisis, a survey of the Emergency Team members and involved staff will be conducted to evaluate the effectiveness of the response. Survey results will help determine whether portions of the Emergency Plan must be modified due to the crisis event. The Preschool Director with the Management Team will prepare a written "Crisis Summary Report" analyzing post-event observation and will coordinate plan revisions (this also applies to weather related crisis situations).

#### G. Recovery

After dealing with the stress and trauma involved in a crisis, the initial crisis may be resolved, but many ancillary issues may still exist. The recovery phase is an important time to deactivate the plan, reassess the effectiveness of the efforts, and evaluate the program's ability to conduct normal

business.

## **EVACUATION**

The incident Commander (IC) initiates evacuation procedures.

IC determines if students and staff should be evacuated outside of building or to COT Building relocation center.

Incident Commander notifies relocation center.

Direct students and staff to follow evacuation drill procedures and route. Follow alternate Route if normal route is too dangerous.

Support Group secures the building (all windows, doors etc.).

Support Group turns off lights, electrical equipment, gas, water faucets, air conditioning and heating system.

Support Group personnel assist evacuation process.

Describe how disabled and non-English speaking students and staff will be provided for.

### **1. Teachers**

Direct students to follow normal evacuation drill procedures unless IC alters route.

Take classroom roster and emergency kit.

Close classroom doors and turn out lights.

When outside building, account for all students. Inform Director or Incident Commander immediately of missing student(s).

If students are evacuated, stay with class unless relieved by buddy teacher. Take roll again when you arrive at the relocation center.

### **2. Relocation Centers**

Primary Relocation Center: COT Building

Address/Phone No.:

1 Nation Way, Southampton, NY 11968

(631) 458-1238

## **LOCKDOWN / SHELTER-IN-PLACE**

Lock-down procedures may be issued in situations involving dangerous intruders or other incidents that may cause harm to persons inside center building.

Incident Commander will issue lock-down order by announcing a warning over PA system, sending a messenger to each classroom or other alternate method.

Direct all students, staff and visitors into classrooms or secure rooms.

Lock classroom doors.

Cover windows of classrooms.

Move all persons away from windows and doors.

Have all persons get down on the floor.

Allow no one outside of classrooms until the incident Commander gives the all-clear signal.



## 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.) **WSP staff works with the Tribal Public Safety department, Tribal Emergency Response Team, and Tribal Leadership to ensure that emergency services needs are in place. The Shinnecock Nation and Wuneechanunk Shinnecock Preschool have adopted the Emergency preparedness practices as outlined in the Emergency Preparedness Manual for Early Childhood Programs. This manual can be found at <https://eclkc.ohs.acf.hhs.gov/sites/default/files/pdf/emergency-preparedness-manual-early-childhood-programs.pdf>. WSP has incorporated these practices into our own plan that is made available to all staff and volunteers upon hire, and accessible in each WSP classroom, in addition to the Director's office. WSP staff participates in annual trainings to re-certify CPR/AED, Active shooter, and quarterly fire, evacuation, and lockdown practice drills.**

## 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):**

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):**

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:**

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: Tribally approved monitoring will be implemented.**

State Monitoring

**State(s):**

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: Eligible family child care recipients will be monitored as deemed necessary by center director(s) in accordance with tribally approved standards.**

State Monitoring

**State(s):**

Indian Health Services

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

**Describe:**

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

Tribal Monitoring

**Entity: In-home care will be monitored as deemed necessary by preschool director(s) in accordance with tribally approved standards.**

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://eclkc.ohs.acf.hhs.gov/policy/45-cfr-chap-xiii/part-1302-program-operations>

**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: **Children attending WSP are required to have their age appropriate immunizations in accordance with New York State Health Department on file at the program site. There are hand washing and other infection control measures included as a part of the Tribal procedures rules and license-exempt family child care rules. Specific infection control measures apply when children are diapered.**

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: **All staff, parents/guardians of relative care who care for infants in the childcare setting should follow the required safe sleep practices and standards as recommended by the Shinnecock Indian Nation, WSP, Early Head Start, as well as practiced by the Shinnecock traditions. Persons providing care to children under the age of 1 are required to have training in safe sleep practices and SIDS risk education, and require children under age 1 to be placed to sleep on their backs in a safe crib. Mattresses should be covered with tight fitting sheets, no fluffy blankets, bumpers, stuffed animals, or other foreign objects.**

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: **WSP utilizes Tribal Standards in alignment with Early Head Start performance Standards across all classroom settings. Licensing rules specify that all medication (prescription and OTC) must be in the original container labeled with the child's name and dosing instructions. Parental authorization is required. Medication administration must be logged in the center medical logbook with specific instructions from a health care provider. License-exempt family childcare rules require providers to administer medication to a child only in accordance with written and signed permission from the child's parent. All teachers in each classroom are provided with training, at no cost, as Medication Administrators. Parents are informed during parent orientation as well as it being included in the parent orientation handbook, which is signed by parents at the start of each school year, or upon entry into the program.**

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: **Tribal performance standards: rules and license-exempt family relative care rules cover building and premises safety. Building must comply with all applicable codes and the building and premises must be in compliance with safety standards. Staff receive training o prevention and emergency readiness due to food and allergic responses. Immunizations and control of infectious diseases, prevention of SIDS, Medication administration, and building and physical space procedures and practices for safety are a part of the program's routine expectations as well. All teachers and staff are expected to receive trainings to ensure that they are prepared to meet these preventative and emergency response needs. All home care/relative care providers who will be identified will be availed training in this area, but it is not a mandated component of individual child care received from relatives.**

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: **Tribal Standards in alignment with EHS Performance Standards: license-exempt Relative care rules cover building and premises safety. Building must comply with all applicable codes and the building and premises must be in compliance with safety standards. As a mandated component of teacher orientation, staff are provided training on building and physical premises safety from hazards that cause bodily injury, both inside and outside of the classroom, and surrounding grounds. Staff participates in fire drills, emergency evacuations, and lock down procedures. training is provided on a regular basis, and at least annually on the safety practices.**

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: **Tribal Standards in alignment with EHS standards: All persons working with children under age five are required to have completion of approved training in Shaken Baby Syndrome Prevention prior to working with children. All providers and substitutes working in WSP and Relative Care settings shall receive training in child abuse and neglect laws, how to identify children who have been abused and neglected, and procedure for ensuring that all known or suspected cases of child abuse and neglect are immediately reported to proper authorities. Home care care-givers when identified are presented with training opportunity relating to this subject matter.**

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: **Tribal standards in alignment with EHS standards and practices, and Emergency preparedness for Early Childhood Programs**  
**WSP adheres to plans to address emergency (such as fire, tornado, missing children, or other) disaster or human causes disaster. The WSP works closely with the Shinnecock Nation's Security, emergency response team, and tribal leaders to identify best course of action given the type of emergency. Drills are scheduled to address lock downs, or transition to safe place during an emergency, or shelter in place. Emergency evacuation sites have been identified, and teachers/staff are trained in safety procedures.**

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: **Tribal Standards and Practices in alignment with EHS standards and practices**

**WSP rules require that all materials harmful to children must be stored in properly labeled containers and stored in areas that are inaccessible to children. Licensing rules address universal precautions and handling of materials contaminated with blood or other bodily fluids.**

**All staff must participate in training to work with handling and storage of hazardous materials and the appropriate disposal of contaminants. Evidence of trainings is submitted to each staff member's file. Mandated Reporter training is also a component of the program, and training is provided regularly to ensure compliance to federal guidelines.**

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: **Tribal Standards and procedures in alignment with EHS practices and standards rules address the transportation of children including the use of care safety seats, vehicle safety and other topics. These rules apply whenever children are transported by the program.**

**All staff are trained in the safe and mandated transportation requirements for each age group, to consider the size of the child. When working with transportation in vehicles, such as buses for group trips and community events, all staff are required to have mandated car seats, booster seats, etc., and to comply with the state transportation guidelines to ensure child safety during transportation. Teacher ratios are maintained during all transportation activities.**

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: **Tribal standards in alignment with EHS practices and standards are in place. All staff are required to complete CPR training. Evidence of training is stored in staff record file. First Aid procedures, and relevant materials are secured in each classroom and are specific to the children registered in each First aid practices are covered in the non-credit, Lead Agency approved courses taken as part of per-service training. First aid procedures are required and part of the Relative Care trainings offered. All parents and relatives who act as caregivers at home are strongly encouraged and availed 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: **Tribal standards in alignment with EHS practices and standards. Evidence of training as mandated reporters is expected for all staff of WSP. The records for each staff member is stored in their permanent file. Any provider who knows or has reasonable cause to suspect that a child has been abused or neglected shall immediately contact the county department of social services, human services, or local law enforcement. The contact for all listed agencies are printed in the employee orientation manual and in classrooms. Teachers shall maintain medical logs and include evidence of unusual bruises, contusions, lacerations, or burns received by a child in or out of child care. Childcare providers are mandated reporters under the law. Home care/Relative care caregivers are availed this information, though not mandated to show documentation that they have fulfilled any 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

#### 2.2.1.12 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)). Tribal practice and standards in alignment with EHS performance standards  
The purpose of WSP is provide high-quality child care and early education, including for children with disabilities, through promotion of each child's cognitive, social, and emotional development. Physical activity is also continuous throughout each daily routine in each classroom from infancy through toddler and preschool learning stages. WSP's outdoor classroom is also a space with further supports physical activity while learning. Our cultural program also incorporates all learning domains including physical through traditional songs, dancing, and storytelling on a daily basis.  
It is expected that staff participate in ongoing trainings to support their implementation of the program's curriculum, assessments, observations, active supervision, and forming positive relationships with children and families of the program.

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

- i. Describe any variations based on the category of care, or ages of the children served:  
**Center based teacher/child care provider qualifications of infants between the ages of six weeks through 48 months are required to be at least 18 years old, with high school diploma or equivalent, certified teacher or working educational plan towards a CDA or equivalent. In addition to a minimum of 15 hours mandated workshop participation (SIDS prevention, Mandated Reporter, CPR, etc.)**
- 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): **15**

2.Family Child Care: **15**

3.In-Home Child Care (care in the child's home): **15**

2.2.2.2 Describe any variations based on the ages of the children served: **Teacher/child care provider qualifications of infants between the ages of six weeks through 48 months are required to be at least**

18 years old, with high school diploma or equivalent, certified teacher or working educational plan towards a CDA or equivalent. In addition to a minimum of 15 hours mandated workshop participation in the following: preventing Shaken Baby Syndrome, Prevention of SIDS, keeping children safe, managing challenging behaviors, early intervention, emergency preparedness, obesity training, medication administration training, health and safety, infant brain development, supervision of children, prevention of lead poisoning, CPR, Diaper Changing, Curriculum, teaching Strategies gold/ASQ assessments, etc.

Family/In-home child care providers must confer with WSP staff to ensure they have met all minimal health and safety trainings. Identified relatives caring for children outside of the center must complete minimum 5 hour safety training followed by additional 10 hours in the next three months. Trainings will be offered for CPR and emergency response, SIDS prevention, and prevention of shaken baby syndrome.

- 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: **All trainings are made available to teachers/staff of WSP, and parent/relative care givers during orientation through electronic site: <https://www.ecetp.pdp.albany.edu/> and regular scheduled professional development opportunities scheduled by WSP or Shinnecock Nation administrative staff.**

### 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 **6** weeks[**x**] months[ ] years[ ]  
through **18** weeks[ ] months[**x**] years[ ]  
Ratio: **4:1**  
Group size: **4**

##### ii. Toddler

Define age range: from **18** weeks[ ] months[**x**] years[ ]  
through **36** weeks[ ] months[**x**] years[ ]  
Ratio: **5:1**  
Group size: **10**

iii. Preschool

Define age range: from **36** weeks[ ] months[**x**] years[ ]  
through **48** weeks[ ] months[**x**] years[ ]

Ratio: **7:1**

Group size: **10**

iv. School-Age

Define age range: from **48** weeks[ ] months[**x**] years[ ]  
through **6** weeks[ ] months[ ] years[**x**]

Ratio: **8:1**

Group size: **10**

v. Mixed-Age Groups (if applicable):

Ratio: **N/A**

Group size:

2. Family Child Care Providers

i. Infant

Define age range: from **6** weeks[**x**] months[ ] years[ ]  
through **18** weeks[ ] months[**x**] years[ ]

Ratio: **2:1**

Group size: **4**

ii. Toddler

Define age range: from **18** weeks[ ] months[**x**] years[ ]  
through **36** weeks[ ] months[**x**] years[ ]

Ratio: **5:1**

Group size: **10**

iii. Preschool

Define age range: from **36** weeks[ ] months[**x**] years[ ]  
through **48** weeks[ ] months[**x**] years[ ]

Ratio: **5:1**

Group size: **10**

iv. School-Age

Define age range: from **48** weeks[ ] months[**x**] years[ ]  
through **6** weeks[ ] months[ ] years[**x**]

Ratio: **7:1**

Group size: **10**

v. Mixed-Age Groups (if applicable)

Ratio: **N/A**

Group size:

3. In-Home Child Care Providers

i. Infant

Define age range: from **6** weeks[**x**] months[ ] years[ ]  
through **18** weeks[ ] months[**x**] years[ ]

Ratio: **2:1**

Group size: **4**

ii. Toddler

Define age range: from **18** weeks[ ] months[**x**] years[ ]  
through **36** weeks[ ] months[**x**] years[ ]

Ratio: **3:1**

Group size: **10**

iii. Preschool

Define age range: from **36** weeks[ ] months[**x**] years[ ]  
through **48** weeks[ ] months[**x**] years[ ]

Ratio: **5:1**

Group size: **10**

iv. School-Age

Define age range: from **48** weeks[ ] months[**x**] years[ ]  
through **6** weeks[ ] months[ ] years[**x**]

Ratio: **7:1**

Group size: **10**

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

Ratio: **N/A**

Group size:

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: **Teacher/child care provider qualifications of infants between the ages of six weeks through 48 months are required to be at least 18 years old, with high school diploma or equivalent, certified teacher or working educational plan towards a CDA or equivalent. In addition to a minimum of 15 hours mandated workshop participation in the following: preventing Shaken Baby Syndrome, Prevention of SIDS, keeping children safe, managing challenging behaviors, early intervention, emergency preparedness, obesity training, medication administration training, health and safety, infant brain development, supervision of children, prevention of lead poisoning, CPR, Diaper Changing, Curriculum, teaching Strategies gold/ASQ**
2. Describe the director qualifications: **The director has to be certified in education or have equitable experiences and certification in working with or managing preschoolers.**

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: **Family/In-home child care providers must confer with WSP staff to ensure they have met all minimal health and safety trainings. Identified relatives caring for children outside of the center must complete minimum 5 hour safety training followed by additional 10 hours in the next three months. Trainings will be offered for CPR and emergency response, SIDS prevention, and prevention of shaken baby syndrome.**
2. Describe the director qualifications (if applicable): **N/A**

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: **Family/In-home child care providers must confer with WSP staff to ensure they have met all minimal health and safety trainings. Identified relatives caring for children outside of the center must complete minimum 5 hour safety training followed by additional 10 hours in the next three months. Trainings will be offered for CPR and emergency response, SIDS prevention, and prevention of shaken baby syndrome.**

## 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): The monitoring of the Tribal Plan and program health and safety compliance will be completed by the Director. The Assistant Director will be responsible for day to day oversight. The Human Resource Department will ensure that all licensing and background clearances are completed and cleared. The Director, Grants and Finance manager work together to ensure that the grant is in compliance. The Executive Director will ensure that any outstanding issues and tasks requiring Council of Trustee consent are processed and secured, where appropriate. Shinnecock Office of Security processes all fingerprinting and clearances. Teachers and aides are responsible for certifications and requisite training participation. Oversight remains with the Director for compliance.**

Family Child Care Providers: **N/A**

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

#### 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: **WSP requires that the child care providers meet the Health and Safety Standards established by the both the Tribal Standards and in alignment with Early Head Start and NYS Health and Safety Standards, as outlined in the Emergency Preparedness Manual. The monitor will receive ongoing training to ensure compliance to the tribal plan, in addition to the Health and Safety Standards.**

##### 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)): **Current Tribal inspections are conducted by the Director, who serves as the monitor of compliance. The monitor receives ongoing training and development in compliance related topics that includes: education, finance, health and safety, emergency preparedness, employee practices.**

The Director works closely with the Human Resource director, Grants and Finance office manager, and supporting tribal leadership to ensure that there is compliance on all levels of the Tribal Grant and its implementation.

Emergency practices and procedures are implemented as outlined in the tribal emergency preparedness plan according to Tribal standards. The monitor/Director works with partnerships to receive training in procedural expectations to ensure compliance as well.

#### 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)).

WSP adheres to Tribal Standards in reflection of EHS standards. There is one monitor who directly oversees global compliance. There is one Assistant Director with the responsibility and oversight of day to day operations. The Assistant Director works in tandem with the Director (monitor) to ensure compliance. Director/Monitor also works with Human resources, Security, Finance and Grants management to ensure areas of compliance. Director also works with additional stakeholders (such as Tribal leadership, Executive Director of tribal Operations) to ensure that the ratio of inspectors is sufficient to meet the needs of the program and maintain program integrity.

#### 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: **N.A**

### 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: **Parents of the children are informed of their decisions to have their relatives provide childcare. Parents are informed that relative child care providers should participate in 15 hours of training availed to them upon enrollment into the program.**

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: **The Director will monitor and enforce annual updates to each child's file that is receiving relative care. Relative care providers will be required to provide evidence of completed trainings to the meet the health and safety standards of the program.**

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 an 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 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 checked="" 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 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 checked="" 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 checked="" 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 criminal fingerprint checks.
  - Tribal database or repository. Describe:
  - State database or repository. Describe: **Comprehensive Background checks are authorized in writing by each applicant and/or child care provider for the center upon their onboarding process. The human resource department then submits necessary names to the agency for state and/or federal clearance through our primary Agency known as IdentoGO to begin fingerprinting process. Applicants get their results directly from the agency and are required to submit to the Human resource director for clearance and to receive their start date.**

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 checked="" 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 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 checked="" 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 checked="" 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: **Comprehensive Background checks are authorized in writing by each applicant and/or child care provider for the center upon their onboarding process. The human resource department then submits necessary names to the agency for state and/or federal clearance through our primary Agency known as IdentoGO to begin fingerprinting process. Applicants get their results directly from the agency and are**



required to submit to the Human resource director for clearance and to receive their start date.

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 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 checked="" 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 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 checked="" 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 checked="" 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"/> Family child care household members not included <input checked="" 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:

State database or repository. Describe: **Comprehensive Background checks are authorized in writing by each applicant and/or child care provider for the center upon their onboarding process. The human resource department then submits necessary names to the agency for state and/or federal clearance through our primary Agency known as IdentoGO to begin fingerprinting process. Applicants get their results directly from the agency and are required to submit to the Human resource director for clearance and to receive their start date.**

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 checked="" 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 checked="" 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 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 checked="" 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 checked="" type="checkbox"/> Third-party vendor <input type="checkbox"/> Other, <i>describe:</i>
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 checked="" type="checkbox"/> FBI-approved channeler <input type="checkbox"/> Direct to FBI	<input type="checkbox"/> Non-CCDBG Tribal authority <input checked="" 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 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 checked="" 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, <i>describe:</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
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<p>Tribally Operated Centers and Tribally Regulated Providers (includes center-based child care and family child care)</p>	<p><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"/> National FBI fingerprint NCIC NSOR automatic check plus name-based search of NCIC NSOR</p>	<p><input type="checkbox"/> Private or public sex offender registry  <input type="checkbox"/> Family child care household members not included  <input type="checkbox"/> Other, describe:</p>
<p>State-Licensed Providers (includes center-based child care and family child care)</p>	<p><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"/> National FBI fingerprint NCIC NSOR automatic check plus name-based search of NCIC NSOR</p>	<p><input type="checkbox"/> Private or public sex offender registry  <input type="checkbox"/> Family child care household members not included  <input type="checkbox"/> Other, describe:</p>
<p>Relative Providers</p>	<p><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"/> Exempt</p>	<p><input type="checkbox"/> Private or public sex offender registry  <input type="checkbox"/> Other, describe:</p>
<p>All other providers eligible to deliver CCDF services (includes state license-exempt and in-home child care providers)</p>	<p><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"/> National FBI fingerprint NCIC NSOR automatic check plus name-based search of NCIC NSOR</p>	<p><input type="checkbox"/> Private or public sex offender registry  <input type="checkbox"/> Family child care household members not included  <input type="checkbox"/> Other, describe:</p>

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 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 checked="" 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 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 checked="" 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 checked="" 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"/> Family child care household members not included <input checked="" 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: **Comprehensive Background checks are authorized in writing by each applicant and/or child care provider for the center upon their onboarding process. The human resource department then submits necessary names to the agency for state and/or federal clearance through our primary Agency known as Identogo to**

begin fingerprinting process. Applicants get their results directly from the agency and are required to submit to the Human resource director for clearance and to receive their start date.

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 checked="" 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 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 checked="" 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 checked="" 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 checked="" 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: **Comprehensive Background checks are authorized in writing by each applicant and/or child care provider for the center upon their onboarding process. The human resource department then submits necessary names to the agency for state and/or federal clearance through our primary Agency known as IdentoGO to begin fingerprinting process. Applicants get their results directly from the agency and are required to submit to the Human resource director for clearance and to receive their start date.**

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 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 checked="" 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 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 checked="" 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 checked="" 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 checked="" type="checkbox"/> Family child care household members not included <input type="checkbox"/> Other, <i>describe:</i>
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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: **Comprehensive Background checks are authorized in writing by each applicant and/or child care provider for the center upon their onboarding process. The human resource department then submits necessary names to the agency for state and/or federal clearance through our primary Agency known as IdentoGO to begin fingerprinting process. Applicants get their results directly from the agency and are required to submit to the Human resource director for clearance and to receive their start date.**

## 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:

#### 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. **An applicant is cleared through the Human Resource department and Office of Security. Once results are received from background checks and clearances, the Human resource director then notifies the applicant of their eligibility to work for the center.**

2.5.6.2 Background check appeals

Describe how the Tribal Lead Agency provides opportunities for applicants to appeal the results of background checks. **Any appeals to the outcome of the results of the criminal, medical, investigation can be made in writing to the Shinnecock Indian Nation. Each case will be reviewed on an individual basis.**

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)). **Any appeals to the outcome of the results of the criminal, medical, investigation can be made in writing to the Shinnecock Indian Nation. Each case will be reviewed on an individual 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.”

### 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:

*Optional: Describe any of the activities checked above:* **WSP will review and include, either in part or in whole, QRIS plan as outlined and discussed through <https://ecquality.acf.hhs.gov>.**

**WSP will use, in part or in whole, the guidelines for quality and assessment as outlined in Early Head Start Program.**

#### 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:* **Parents and caregivers will be provided with education and additional child care options that may better suit their needs while they are working, obtaining training in order to work or active enrollment in an education or college program that would lead to gainful employment.**

**WSP will present parents and caregivers with the information needed to make the most appropriate childcare decisions. Methods to share and request additional childcare needs will be shared as a part of regular community, parent, and/or tribal facilitated meetings.**

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:* **WSP will continue to partner with the Nation, Parents, local early childhood consultants such as Early Head Start, Office of Children and Family Services, and to extend support of CC&R, TANF to families, where appropriate.**  
<https://ocfs.ny.gov/main/childcare/referralagencies.asp>

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:*

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: **WSP will review Minimum Health and Safety Standards: A Guide for American Indian and Alaska Native CCDF grantees, in part or in whole to support the adoption high quality**

**program standards as stated above:**

[https://childcareta.acf.hhs.gov/sites/default/files/public/hs\\_minimum\\_standards.pdf](https://childcareta.acf.hhs.gov/sites/default/files/public/hs_minimum_standards.pdf)

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:

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:

### 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: **The TLA will utilize the data received from ongoing monitoring by the administration. Monitoring inspections will occur on a routine basis and at**

least on two occasions.

In addition, community assessment will include the feedback collected at Tribal meetings, staff meetings, parent meetings and other settings purposed to collect such information through surveys, discussions and general feedback provided by vested stakeholders.

Self Assessments are ongoing. They are implemented with varied levels: parents and community, employees impacted by Quality tasks, and staff and childcare settings.

Self Assessments and program evaluations will also occur as a part of the annual accountability measures (teacher observations, end of the year assessments, individual children's assessments).

Feedback on professional development will also be a part of the process to ensure quality improvement goals are successfully met.

Agenda's and attendance sheets will be collected for all parent, family, and/or Tribal meetings, trainings, and events.

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: **Training and professional development are appropriate in that they are in adherence to state mandates for child care. All staff are required by to complete a series of health and safety basic trainings within three months of hire, in addition to acquiring a Child Development Associate (CDA) in Infants and Toddlers, Associates Degree or equivalent to ensure knowledge of infant and toddler development. Ongoing trainings will be provided by the Director and/or Assistant director.**

**The Language and culture of the Shinnecock Nation is also incorporated into the program for all children, staff and families of WSP.**

Preschoolers. Describe: **It is a requirement that teachers interested in working with Preschool aged children receive the age-appropriate training to ensure that they fully comprehend their state mandates and responsibility as an early child care provider. All staff are required to complete a series of health and safety basic trainings within three months of hire, in addition to acquiring a Child Development Associate (CDA) in Preschool, Associates Degree, or equivalent to ensure knowledge of developmentally appropriate care for preschool children. Ongoing trainings will be provided by the Director and/or Assistant director. The Language and culture of the Shinnecock Nation is also incorporated into the program.**

School-age children. Describe: **Early Head Start performance standards for safety are referenced for after school and relative care when children are sick or unable to attend their regular programs and parents must work, or attend school/trainings. Services may also be provided to parents needing educational assistance and support to maintain child placement during the day. Such services may include access to social workers or community supports to address areas of concerns (illness, behaviors, material access, special education supports, etc.).**

Children who are Indigenous-language learners. Describe: **WSP has secured staff who are experienced, through formal education as well as through prior experiences, to work with Shinnecock Cultural Enrichment Department, to develop and write curriculum to implement to all age levels at WSP. Cultural components will include, but not limited to regalia, language basics (pragmatic/greetings, counting, nursery rhymes, etc.) dance and cultural practices and song.**

Children with developmental delays and disabilities. Describe: **WSP will continue to work to incorporate practices for identifying children with age level/developmental delays in language and processing information, behaviors, motor and other developmental milestones areas of acquisition.**

**A systematic approach to identifying areas of concern, actions to address and support them while having parental involvement to implement a plan. Data will be taken in response to the interventions prior to referrals to CPSE or Early Intervention services. All measures to maintain the child in program will be pursued. All recommendations of EI or CPSE will be in adherence.**

### 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: **As a tribally operated center we still strive to remain in balance with the quality care at state level. By remaining current to local professional development opportunities through email, newsletters, social media, and additional communications; staff, teachers, and families are made aware of trainings that apply to their positions.**

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: **TLA has been included on several meetings to increase the awareness of offerings as well as to ensure that any available supports are sensitive to the needs of the Native Child.**

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:

No, as a *Tribal Lead Agency with a small allocation*, we will not be offering direct child care services. **Stop here and go to the appendices.**

Yes, as a *Tribal Lead Agency with a small allocation*, we will offer direct child care services. Complete the questions below.

#### 4.2 Direct Child Care Methods

##### 4.2.1 Methods for Direct Child Care Services provided by the Tribal Lead Agency

###### 4.2.1.1 How does the Tribal Lead Agency provide direct child care services?

How does the Tribal Lead Agency provide direct child care services? Check only those that apply:

Certificates and vouchers.

Grants or contracts with approved child care providers (e.g., does the Tribal Lead Agency use grants or contracts to increase the supply and prioritize investments; address children in underserved areas, infants and toddlers, children with disabilities [as defined by the lead agency], and children who receive care during non-traditional hours; and/or improve quality of child care programs?)

CCDF-funded Tribally Operated Center.

#### 4.3 Categories of Care

##### 4.3.1 Categories of Care

###### 4.3.1.1 Categories of care.

The Tribal Lead Agency allows families to choose from the following categories of care. Check only those that apply:

Center-based child care, including a Tribally Operated Center, culture camps, etc.

Family child care

In-home child care

#### 4.3.2 Tribally Operated Centers

##### 4.3.2.1 Child care services provided exclusively through Tribally Operated Centers.

Does the Tribal Lead Agency provide child care services exclusively through Tribally Operated Centers?

Yes

No

#### 4.4 Eligibility Criteria

Eligible children must meet the Tribal Lead Agency’s definition of Indian Child and reside in the designated service area. Describe any other eligibility criteria, such as child’s age, family income and size, reason for care (e.g., work, job training, education), and priorities for vulnerable populations.

##### 4.4.1 Eligibility Criteria

As described above, Tribal Lead Agencies with small allocations can establish their own subsidy program based on their unique needs, including determining their own eligibility requirements.

###### 4.4.1.1 Describe eligibility criteria.

Tribal Lead Agencies have the option to describe their eligibility criteria in the text box below or by responding to the optional eligibility criteria in sections 4.4.2 through 4.4.6 below: **WSP will consider family income, and reasons for child care needs, to include parents working, pursuing education or attending job training. Additional criteria will include protective services and priorities for vulnerable populations.**

**Children will be given priority bases on family needs, for example, number and ages of children in family, gestalt of family supportive needs, home dynamics, and the individual needs of the child.**

**Children who attend TOC's meet the criteria of the definition of Indian Child, and reside in the designated service area. Priority of accepted enrollment is extended to families with income and size considerations, as well as by court appointment, or delegation. Parents must satisfy the working, actively seeking employment or attending vocational training courses as previously explained.**

##### 4.4.2 Optional: Children Age Range

###### 4.4.2.1 Optional: The Tribal CCDF program children age range.

Optional: The Tribal CCDF program serves children from ages **6** weeks months years through **12** weeks months years ----- (may not equal or exceed age 13).

##### 4.4.3 Optional: Child Care for Children with Special Needs

###### 4.4.3.1 Optional: Child care for special needs children.

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

No

Yes

1. The upper age is **13** (may not equal or exceed age 19).
2. Define “physical or mental incapacity”: **Any child who is currently identified as a student with a learning disability, physical disability, mental health need or any other of the IDEA’s 13 areas of qualifiers, and is in possession of an IEP or a 504 Accommodation Plan. Any child who is suspected of having a disability as identified under IDEA and is pending completion of review by the Committee of Special Education in the LEA/school district. The TLA will require documentation, such as: Copies of IEP, medical reports, parent reports, teacher reports, disciplinary records, attendance records or any other documents that may lend themselves to identifying appropriate supports outside of the LEA setting and to ensure safe and supportive child care support. Court delegation or mandates may also be considered as rational for acceptance.**

4.4.3.2 Optional: Child care for children are under court supervision.

Optional: 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 **13** (may not equal or exceed age 19).

4.4.4 Optional: Eligibility based on Reason for Care

4.4.4.1 Optional: Tribal Lead Agency eligibility based on reason for care.

Optional: Does the Tribal Lead Agency establish eligibility based on reason for care? For example, does the Tribal Lead Agency require children to reside with a parent or parents who are working, or attending a job training or an educational program, or to receive or need to receive protective services?

No.

Yes. [If Yes, go to 4.4.4.2](#)

4.4.4.2 Define CCDF eligibility for working, training, education, and protective services.

If yes, how does the Tribal Lead Agency define working, attending a job training or an educational program, and receiving or needing to receive protective services for purposes of CCDF eligibility? Provide the definitions below:

“Working”: **Working is defined as parents working part-time or full-time jobs. Part time employment generally average less than 30 hours per week, whereas regular full time**

**employees work 30 to 40 hours per week. Applicants will be required to submit documentation from their employer upon enrollment which will get filed in their secure enrollment file.**

**“Attending a job training”: Attending any form of training related to work. Evidence of such training should be provided to WSP upon applying and will be kept in secure enrollment filing system.**

**“Attending an educational program”: Attending an educational program consists of enrollment to any form of schooling from high school/GED, accredited college courses, and/or trade program. Applicants would need to submit documentation of acceptance to the educational program upon enrollment and this is maintained in the secure enrollment filing system.**

**“Receive or need to receive protective services”: Any applicants receiving or needing to receive protective services will need to have an active case with proof of court appointed order of protection. All information provided is held in strict confidentiality and filed in a secure enrollment filing system. Any updates to the applicant's case must be communicated with WSP in a timely fashion to ensure consistent safety and well-being of the families under our service.**

#### 4.4.5 Optional: Eligibility Based on Family Income

4.4.5.1 Optional: Does the Tribal Lead Agency establish eligibility based on family income?

No.

Yes. How does the Tribal Lead Agency define income for purposes of CCDF eligibility?

#### 4.4.6 Optional: Additional Eligibility Criteria

4.4.6.1 Optional: Does the Tribal Lead Agency establish additional eligibility criteria?

No.

Yes. Describe:

### 4.5 Family Contributions/Co-payments

#### 4.5.1 Sliding-fee scale

4.5.1.1 Sliding-fee scale for CCDF families' contributions.

Tribal Lead Agencies that require family contributions/co-payments from any families must have and periodically revise a sliding-fee scale for CCDF families' contributions that varies based on income and family size.

Attach a copy of the sliding-fee scale (Enter Attachment #: **Document was provided by TLA**)

4.5.1.2 What is the sliding-fee scale effective date?

#### 4.5.2 Waiving Family Contributions/Co-payments for Families

4.5.2.1 Does the Tribal Lead Agency waive family contributions/co-payments for any families?

No.

Yes. Describe: **WSP utilizes a formula to calculate parent contributions: total verified salary less 5%, divided by 52 (weeks) + total contributions for poverty and above.**

**Poverty and below is calculated at less 7% divided by 42 for their total contributions.**

**Full tuition weekly rate is at \$270 for infants 6 wk- 18 mo; \$250 for toddlers 18-36 mo; and \$230 for 36-48 mo.**

#### 4.6 Payment rates

##### 4.6.1 Payment rates

4.6.1.1 Attach the Tribal Lead Agency’s payment rates (Enter Attachment #: **Document was not provided by TLA**)

#### 4.2 Application for services

##### 4.2.1 Description for Family Application for Child Care Services

4.7.1.1 Describe how families can apply for child care services: **Parents/Guardians may apply for child care services by contacting WSP by phone or via website**

**<https://www.wuneechanunkpreschool.com/>**

**Administrative staff will arrange a time to meet with parents to review the enrollment process, tour the school, and answer any questions. Once the application process is complete and all supporting documentation has been submitted, the family will be notified with a start date based on classroom vacancy according to child's age. Should there be no space available in a classroom that family will be placed on a waiting list. Applications are accepting all year round.**

***Tribal Lead Agencies with Small Allocations***

**Stop Here—**

**Go Directly to the Appendices**

## Appendix 1

### Triennial Child Count Declaration

If the **Tribal Lead Agency is not a Consortium**, complete the information below.

Name of Tribe/Tribal Lead Agency: **Shinnecock Indian Nation**

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: **1662** (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 **6/27/2022** (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: **Shinnecock Indian Nation**

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 (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)
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**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: **A child under the age of 13 who has at least one parent enrolled in 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: **Residence on the Shinnecock Territory, in Southampton, New York 11968 or the surrounding townships of Suffolk County, New York.**

\_\_\_\_\_  
**Official Signature** of Individual Authorized to Act for the Tribe

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Title



<b>Appendix 2</b>
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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: