

Attachment D

CCDF Tribal Construction/Major Renovation Application Checklist

Tribe		State	
Date			

Three Requirements:

1) 429 (paper copy until the system is fixed)

The Tribal Lead Agency proposing to use CCDF funds for construction or major renovation must submit

The Real **Property Status Report SF-429** cover page and

SF 429 Attachment B

They are available at: <https://www.acf.hhs.gov/occ/resource/ccdf-acf-pi-2017-06-attachment-a>

2) Cover Letter

In addition, the Tribal Lead Agency must submit a supplemental written application **signed by the Tribal Chairperson or his/her designee** that contains the following information:

3) Application Package:

(1) The **Tribal** name and the name of the **Tribal Lead Agency** responsible for administering the CCDF.

Tribal name	
Tribal Lead Agency name	

Contact person's name, address, phone number, fax number, and e-mail address.

Name	
Address	
Phone number	
Fax number	
E-mail address	

(2) A description of **existing child care facilities located within a 50 mile** radius of the proposed facility that are currently used by the Tribal Lead Agency to carry out CCDF activities. Include the **number of each type of facility** (e.g., homes, centers) and a **brief description of each center** (i.e., size, type of structure, condition, number of children served, and ages of children served).

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(3) An explanation of why current facilities (described in item 3) **are not adequate** to carry out CCDF activities and why the lack of facilities will inhibit the operation of the Tribal Lead Agency's CCDF program in the future. The explanation must include **estimates of the number of children** who:

(1) currently receive CCDF services;

(2) are currently eligible to receive and are in need of CCDF services but are not being served due to inadequate facilities;

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<p>(3) are projected to receive CCDF services over the next five years (in the absence of this proposed construction/renovation); and</p> <p>(4) are projected to be eligible to receive and in need of CCDF services, but will not be served (without this proposed construction/renovation) due to inadequate facilities, over the next five years.</p>	
Explanation of why current facilities are not adequate	
Why the lack of facilities will inhibit the operation of the program	
Must include estimates of children who:	
(1) Currently receive CCDF services;	
(2) Are currently eligible and in need but are not being served due to inadequate facilities;	
(3) Are projected to receive CCDF services over the next five years (in the absence of this proposed construction/ renovation); and	
(4) Are projected to be eligible and in need, but will not be served (without proposed construction/renovation) due to inadequate facilities, over the next five years.	
(4) A statement that adequate facilities are not otherwise available through lease, donation, purchase by non-CCDF funds, or other means.	
(5)	
(a) The following written assurance : "The use of CCDF funds for construction or renovation will not result in a decrease in the level of child care services provided by the Tribal Lead Agency, as compared to the level of services provided in the preceding fiscal year."	
(b) Additionally, describe how the current fiscal year's level of child care services compares to the preceding year's level of services. The Tribal Lead Agency may define "level of services" in terms of the number of children served and/or the amount of funds spent on child care. Regardless of which definition it chooses, the Tribal Lead Agency must include in its description explanatory information about both the number of children served and the amount of funds spent on child care. The "preceding fiscal year" is the fiscal year prior to the fiscal year that the Tribal Lead Agency submits its application in accordance with this Program Instruction.	
<p><i>NOTE: A new tribal grantee (i.e., one that did not receive CCDF funds the preceding fiscal year) may spend no more than an amount equivalent to its Tribal Mandatory allocation on construction and renovation. Therefore, a new tribal grantee must spend an amount equivalent to its Discretionary allocation on activities other than construction or renovation (i.e., direct services, quality activities, or administrative costs).</i></p>	
(c) If the Tribal Lead Agency is seeking a waiver from the requirement to maintain the level of child care services while using CCDF funds for construction or renovation, the Tribal Lead Agency must submit the following information:	
(i) The following written assurance: "The decrease in the level of child care services provided by the Tribal Lead Agency is temporary."	

(II) Additionally, describe the current fiscal year’s level of child care services, the projected decrease as a result of the construction or renovation, and how long the Tribal Lead Agency estimates the projected decrease will last.

(III) Explain how the child care services will improve after the completion of the construction or renovation. The explanation must include a plan that shows that the level of services will increase or that the quality of services will improve.

a) Written assurance

b) Description of how the current fiscal year's level of child care services (number of children served and the amount of funds spent on childcare) compares to the preceding year's level of services.

c) If waiver	(I) Written assurance		
	(II)	Current level of services Projected decrease Length of decrease	
	(III) Improve quality/quantity of services		

(6)

(a) A description and map of the site of the facility proposed to be constructed or on which renovations are proposed and an explanation of the appropriateness of the location in relation to the Tribal Lead Agency's service area.

(b) Include a statement of the effect of the facility's location on the transportation of children to the program; on the Tribal Lead Agency's ability to collaborate with other child care, Head Start/Early Head Start, social services, and health providers; and on all other program activities and services.

(a)

Description of site

Attach Map Attached

Appropriateness explanation

(b) Statements

Transportation

Collaboration

All other program activities and services

(7)

(a) The plans and specifications for the proposed construction or renovation, including architectural designs.

NOTE: Draft architectural plans and specifications, as opposed to final plans, are acceptable if they include:

(1) a plot plan showing the orientation and location of the building in relation to key features (e.g., parking areas, playground, access points);

- (2) floor plans showing the overall dimensions of the building and the location, size, and purpose of its components (e.g., rooms, hallways);
- (3) drawings showing the size and appearance of all sides of the building's exterior; and
- (4) outlined specifications listing a general description of materials and mechanical systems.

(b) Describe the facility as it will be after construction or renovation is complete, including:

- (1) information on the size and type of structure;
- (2) the number and a description of the rooms;
- (3) the lot on which the building is located (including the space available for a playground and for parking);
- (4) and the number of children the facility will serve. For major renovation requests, describe and identify the current condition of the facility, as well as the proposed renovations.

(c) Describe the aspects of the building and physical premises that will ensure children's health and safety (e.g. appropriate diaper changing and hand washing areas; sufficient heating, cooling, and ventilation; secure storage space for any hazardous materials; smoke detectors or other fire warning devices; adequate exits in case of emergency; etc.)

(d) Explain the elements of the facility that will help create a developmentally-appropriate learning space (e.g. child-sized plumbing fixtures, low windows for children to look out, sufficient play space, etc.).

NOTE: The Tribal Lead Agency is encouraged to hire an architect or other expert who has experience in designing spaces for infants, toddlers, and children.

(e) In addition, describe the culturally significant elements, if any, in the facility's design or renovation (e.g. use of certain building materials, landscaping, play space).

(a)	
Plans and specifications	<input type="checkbox"/> Attached
(b) Describe:	
Structure: size and type	
Rooms: number and description	
Lot (including playground and parking)	
Number of children	
Major renovation: current condition	
Major renovation: proposed renovations	
(c)	
Describe aspects that will ensure children's health and safety	
(d)	
Explain elements that will help create a developmentally-appropriate learning space	
(e)	
Describe culturally significant elements	
(8) A proposed time schedule for each major activity of the construction or renovation and occupancy of the facility.	

(9) The intended uses of the facility proposed to be constructed, or on which renovations are proposed, and information about the percentage of floor space that will be used to provide direct services to children. If the facility is to be used for other purposes, in addition to the operation of the child care program, the Tribal Lead Agency must state what portion of the facility is to be used for such other purposes.

NOTE: The facility must be used principally to provide direct services to children. Furthermore, if the facility is to be used for purposes in addition to the operation of the CCDF program, costs must be allocated in accordance with applicable cost principles.

Intended uses	
Percentage to provide direct services	
If applicable, portion for other purposes	

(10)

(a) Documentation on all other sources and uses of non-CCDF funds for the construction or renovation, including any restrictions or conditions imposed by other funding sources. The documentation must include a cost allocation plan for any facility that is shared with other programs.

(b) The terms of any proposed or existing loan(s) related to the construction or renovation of the facility and the repayment plans (detailing balloon payments or other unconventional terms, if any).

*NOTE: Any loan or mortgage agreement, including a deed of trust, or any other instrument used to finance the construction or renovation secured by the property (or security agreement in the case of a modular unit which is proposed to be purchased under a chattel mortgage) shall require the lender, in the case of default by the Tribal Lead Agency, to **notify ACF before foreclosing on the property**. The agreement must provide that ACF has the right to cure the default, and that the lender shall accept the payment of money or performance of any other obligation by ACF, or its designee, for the Tribal Lead Agency, as if such payment of money or performance had been made by the Tribal Lead Agency. The agreement shall also provide that the lender will not foreclose on the property until at least 60 calendar days after ACF is notified of the default. This 60-day period will allow time for the responsible ACF official to designate a replacement Tribal Lead Agency, which shall assume all of the obligations of the Tribal Lead Agency under the loan (see Section X for more information).*

(a)	
Other sources: restrictions and conditions	
Cost allocation plan	
(b) If applicable:	
Loan terms and Repayment plans:	

(11) An estimate of the total cost of the proposed construction or major renovation. The estimate must provide a break down **by major cost category**, such as: demolition and removal; site work; general construction/renovation; plumbing; heating, ventilation and air conditioning; electrical; equipment; architectural and engineering fees.

Provide a copy of written documentation, such as a written estimate prepared by a licensed architect or engineer, to support the cost estimate. The **cost estimate** must include:

(a) **Estimated one-time costs**, including:

- (1) planning costs,
- (2) labor, materials and services necessary for the functioning of the facility, and
- (3) initial equipment for the facility. Equipment means items that are tangible, nonexpendable personal property having a useful life of more than five years. Some examples of one-time costs are the down payment, professional fees, moving expenses, and the cost of site preparation.

(b) An **estimate of ongoing costs** such as staffing costs, supplies, insurance premiums, maintenance costs, property taxes, and any other operating costs for the facility or the child care program. When planning for construction or renovation, the Tribal Lead Agency should carefully consider whether it would have sufficient funds to cover ongoing costs necessary to operate the facility after the construction or renovation is completed; and the impact on the Tribal Lead Agency's ability to meet its child care service obligations.

*NOTE: A Tribal Lead Agency cannot use the separate grant award for construction/renovation to pay for ongoing operating costs, such as insurance premiums, maintenance costs, or property taxes. The separate grant award must only be used for **one-time construction and renovation costs** or principal and interest payments, if the project is financed through a loan. However, other CCDF funds from the Tribal Mandatory or Discretionary grant awards could be used for allowable operating costs.*

(a) Estimated one-time costs:

(1) planning costs	
(2) labor, materials and services	
(3) initial equipment for the facility	

(b) Estimate of ongoing costs:

Staffing costs	
Supplies	
Insurance premiums	
Maintenance costs	
Property taxes	
Other	

(12) A statement of the amount of construction or major renovation costs that will be paid with CCDF funds listed separately by the Federal fiscal year in which the CCDF funds become (or became) available. Indicate whether the funds should be transferred from Tribal Mandatory or Discretionary funds.

NOTE: For a single project, a Tribal Lead Agency may use CCDF funds from more than one fiscal year. A project that uses more than one year of CCDF funding may be approved in a single application.

Funds:

FY	Mandatory	Discretionary
FY		
FY		
FY		
FY		

(13) A statement of whether or not there is a Head Start/Early Head Start program in the Tribal Lead Agency's service area. If there is a Head Start/Early Head Start program in the service area, the applicant must describe: any Child Care/Head Start and Early Head Start collaboration efforts, including whether or not the Tribe received an Early Head Start-Child Care partnership grant; the extent to which Head Start/Early Head Start will use the Child Care facility; and the extent to which Head Start/Early Head Start funds will pay for construction and renovation costs, if applicable.

NOTE: The applicant must demonstrate Child Care/Head Start and Early Head Start collaboration if there is a Head Start/Early Head Start program in the service area.

<ul style="list-style-type: none"> • There is <input type="checkbox"/> an Early Head Start program in the Tribal Lead Agency's service area. • There is <input type="checkbox"/> a Head Start a program in the Tribal Lead Agency's service area. 	Describe Collaboration efforts:
	Early Head Start-Child Care partnership grant: <input type="checkbox"/> Yes <input type="checkbox"/> No
	Will EHS/HS use the facility? <input type="checkbox"/> Yes. Extent: <input type="checkbox"/> No
	Will EHS/HS pay for construction/renovation cots? <input type="checkbox"/> Yes. Extent: <input type="checkbox"/> No

There is not a Head Start/Early Head Start program in the Tribal Lead Agency's service area.

(14) A statement of **who owns the land** on which the facility is/will be located. If the Tribal Lead Agency proposes to construct or renovate a facility located on land that it does not own, the application must describe and provide a **copy of the easement, right of way or land lease** it will obtain or has obtained to allow it undisturbed use and possession of the facility for the purpose of operating a CCDF program.

NOTE: The land lease or other similar interest in the underlying land must be long enough for the Tribal CCDF program to receive the full value of the grant-funded improvements. The term of the lease or other arrangement should in most cases be for a period of years that is at least equal to the estimated useful life of the facility. The lease must contain certain information related to the Federal interest (see Section VIII).

Statement	
If applicable, describe and provide a copy of the easement, right of way or land lease	

(15) **FOR MAJOR RENOVATION REQUESTS ONLY:**
A statement indicating whether the Tribal Lead Agency **owns the facility to be renovated**. If the Tribal Lead Agency does not own the facility, the application must include **information about the owner, a copy of written permission from the owner allowing the proposed renovation, and a copy of the lease for the facility**.

*NOTE: If the Tribal Lead Agency does not own the facility to be renovated, the Tribal Lead Agency must demonstrate that **it has secured a lease** that will assure the Tribal Lead Agency has access to*

*the facility for a reasonable period of time, taking into consideration the amount of CCDF funds used to renovate the facility. **In most cases, a minimum of five years (from the date the renovation is completed) is required, unless justified.** The lease must contain certain information related to the Federal interest (see Section VIII).*

Statement

If applicable, information about the owner, including:
 a copy of written permission from the owner allowing the proposed renovation, and
 a copy of the lease for the facility

(16)

- (a) A written assurance that the Tribal Lead Agency will **provide and maintain competent and adequate oversight and inspection** during all phases of the project at the work site to ensure that the completed work conforms to the approved plans and specifications.
- (b) In addition, a **description of specific steps the Tribal Lead Agency will undertake to ensure adequate oversight and inspection**, including the qualifications of personnel who will be performing oversight and inspection tasks.

(a) Written assurance

(b) Oversight and Inspection

(b) Inspector Qualifications

(17) Written assurances that the facility will be constructed or renovated to comply with:

- (a) All applicable licensing and code requirements to ensure the health and safety of the children and child care staff;
- (b) The access requirements of the Americans with Disabilities Act (P.L. 101-336), if applicable;
- (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794);
- (d) The Flood Disaster Protection Act of 1973 (P.L. 93-234), if applicable; and,
- (e) The Earthquake Hazards Reduction Act of 1977 (P.L. 95-124), if applicable.

Assurances

(a)

(b) if applicable;

(c)

(d) if applicable;

(e) if applicable;

(18)

(a) An assessment of the impact of the proposed construction or renovation on the human environment, addressing in particular any significant change in land use (including substantial increases in traffic in the surrounding area due to the provision of transportation services), pursuant to the National Environmental Policy Act of 1969 (42 U.S.C. §4332(2)(C)) and its implementing regulations (40 CFR 1500-1508). See Attachment B for guidance regarding the National Environmental Policy Act (NEPA).

(b) A report showing the results of tests for environmental hazards present in the facility, ground water, and soil (or justification why such testing is not necessary). The report (or justification) is required regardless of whether or not the Tribal Lead Agency is required to submit a complete environmental assessment in accordance with NEPA.

- (a) Attach environmental Assessment
- (b) Attach environmental hazards report

19. **FOR MODULAR UNIT REQUESTS ONLY:** A **statement** describing procedures for purchasing the modular unit. This must include a **copy of the unit's specifications** and an **assurance** that the Tribal Lead Agency will comply with procurement procedures in 45 CFR Part 92.36, including an assurance that transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition.

Statement	
Copy of the unit's specifications	<input type="checkbox"/> Attached
Procurement procedures assurance	
Open and free competition assurance	