

Administration of the Child Care Assistance Program

2018-2019 Aitkin County and Tribal Child Care Fund Plan

Administration of the Child Care Assistance Program

Background: Counties and tribes must submit a biennial Child Care Fund Plan to the commissioner. Child Care Assistance Program (CCAP) rules and laws allow counties and tribes to establish some local policies and procedures. These local policies and procedures, when included in this plan and approved by the commissioner, are considered county/tribal policy and are used to support agency decisions during appeals. The Department of Human Services (DHS) will review and approve County and Tribal Child Care Fund Plans. Counties and tribes will receive approval letters for their Child Care Fund Plans from the commissioner of DHS. This plan period begins on January 1, 2018.

Minnesota Statute, section 119B.08, subdivision 3

Steps to complete the plan process:

Step One – Review the plan

Determine if there are changes to policies or procedures compared to previous plans, or if there are new policies or procedures. Involve other staff as needed.

Note: New questions were added and questions were re-ordered.

Step Two – Draft the plan responses

Step Three – Inform or involve stakeholders

DHS encourages counties and tribes to develop optional policies for the Child Care Assistance Program in coordination with local child care stakeholders. This may include: parents, child care providers, culturally specific service organizations, Child Care Aware agencies (formerly known as child care resource and referral agencies), interagency early intervention committees, potential collaborative partners and agencies involved in the provision of care and education to young children. Consult with other agency staff such as fraud investigators, income maintenance and employment services staff.

Step Four – Share the draft plan

Prior to submission, make copies of the proposed plan available to the public and allow sufficient time for public review and comment. See question II.D of this plan; describe methods used to make the plan available to the public, particularly to those members listed in II.D.

Step Five – Submit the plan by the deadline

Submit the plan by the deadline, and note these guidelines:

- Identify all optional county/tribal Child Care Assistance Program policies; see question IX.A.
- Do not answer questions by stating that the reviewer should refer to a previous plan.
- Submit any agency-developed forms that have not been previously submitted and approved. Do not submit DHS and MEC² standardized forms. Refer to the DHS memo announcing this plan for a list of DHS created documents that are required for CCAP.
- Provide an answer to each question. Incomplete plans will be returned.

Amendments to plans

A county or tribe may amend their Child Care Fund Plan at any time, but the commissioner must approve the amendment before it becomes effective. If approved by the commissioner, the amendment is effective on the date requested by the agency unless a different effective date is set by the commissioner. Plan amendments must be approved or denied by the commissioner within 60 days after receipt of the amendment request.

Minnesota Rules, part 3400.0150, subpart 3

Amendments include changes in county/tribal contacts, county/tribal optional policies, new or revised forms and notices. Amendments can be sent in letter form or by email to the agency's CCAP policy specialist.

Return completed plans by **Tuesday, September 19, 2017** to:
DHS.CCAP@state.mn.us

Administration of the Child Care Assistance Program

I. Child Care Assistance Program contacts

A. County or tribal agency

COUNTY OR TRIBE NAME Aitkin	GENERAL PHONE NUMBER 218-927-7200	EXTENSION 218	GENERAL FAX NUMBER 218-927-7293
AGENCY'S FULL NAME Aitkin County Health & Human Services		CCAP INTAKE PHONE NUMBER 218-927-7200	EXTENSION
MAIN OFFICE STREET ADDRESS 204 1st St NW	CITY Aitkin	ZIP CODE 56431	
MAIN OFFICE MAILING ADDRESS (if different)	CITY	ZIP CODE	

B. County or tribal branch office (if applicable)

BRANCH NAME	GENERAL PHONE NUMBER	EXTENSION	GENERAL FAX NUMBER	CCAP INTAKE PHONE NUMBER	EXTENSION
ADDRESS OF BRANCH OFFICE		CITY		ZIP CODE	

C. Agency contact people

This contact information is required to be completed and will be used by DHS staff to communicate with counties or tribes.

1. County or tribal CCAP administrative contact

Who is your primary contact for DHS CCAP?

<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Jessica	LAST NAME Goble			
TITLE Financial Assistance Supervisor		PHONE NUMBER 218-927-7218	EXTENSION	FAX NUMBER 218-927-7293	
EMAIL ADDRESS jessica.goble@co.aitkin.mn.us		SIR EMAIL ADDRESS X101566@cty.dhs.state.mn.us			
ADDRESS 204 1st St NW		CITY Aitkin		ZIP CODE 56431	

2. County or tribal client access contact

Who is your lead person/s who has contact with families receiving CCAP?

<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Kaycie	LAST NAME Tohm			
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293	
EMAIL ADDRESS kaycie.tohm@co.aitkin.mn.us		SIR EMAIL ADDRESS X101308@cty.dhs.state.mn.us			
ADDRESS 204 1st St NW		CITY Aitkin		ZIP CODE 56431	

<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Nancy	LAST NAME Schneider		
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293
EMAIL ADDRESS nancy.schneider@co.aitkin.mn.us		SIR EMAIL ADDRESS X101203@cty.dhs.state.mn.us		
ADDRESS 204 1st St NW		CITY Aitkin	ZIP CODE 56431	
<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Carolyn	LAST NAME Hince		
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293
EMAIL ADDRESS carolyn.hince@co.aitkin.mn.us		SIR EMAIL ADDRESS X101571@cty.dhs.state.mn.us		
ADDRESS 204 1st St NW		CITY Aitkin	ZIP CODE 56431	

3. Management of waiting list contact

Who is your waiting list contact person? The waiting list contact person identified is responsible for maintaining the waiting list and responding to the state's questions about families reported on the waiting list. Only identify one waiting list contact.

<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Kaycie	LAST NAME Tohm		
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293
EMAIL ADDRESS kaycie.tohm@co.aitkin.mn.us		SIR EMAIL ADDRESS X101308@cty.dhs.state.mn.us		
ADDRESS 204 1st St NW		CITY Aitkin	ZIP CODE 56431	

4. Provider billing contact

Who is your lead billing contact person who is able to answer questions about billing and payments?

<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Sara	LAST NAME Math		
TITLE Account Technician		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293
EMAIL ADDRESS smath@co.aitkin.mn.us		SIR EMAIL ADDRESS X101543@cty.dhs.state.mn.us		
ADDRESS 204 1st St NW		CITY Aitkin	ZIP CODE 56431	

5. Provider registration contact

Who is your lead provider registration contact person who is able to answer questions about provider registrations?

<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Kaycie	LAST NAME Tohm		
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293

EMAIL ADDRESS kaycie.tohm@co.aitkin.mn.us	SIR EMAIL ADDRESS X101308@cty.dhs.state.mn.us	
ADDRESS 204 1st St NW	CITY Aitkin	ZIP CODE 56431

D. Subcontracted services

Counties and tribes may contract with an agency to administer all or part of their Child Care Assistance Program. Do not include cooperative agreements with employment and training service providers that work with MFIP/DWP families to develop and approve the employment service plan.

Minnesota Rules, part 3400.0140, subpart 7

If you are planning any changes in the administration of your CCAP, tell your CCAP policy specialist immediately. This could involve subcontracting or mergers of counties. Failing to notify DHS may delay the changes that you are planning to make.

Does your county or tribe contract with an agency for any part of the administration of CCAP? Yes No

II. Collaboration and outreach

A. How do you share information so that individuals, child care providers, social service agencies, etc. are aware of child care assistance? ([Minnesota Rules, part 3400.0140, subpart 2](#))

CCAP information packets offered at the ACHHS Office, all family cash assistance cases have CCAP information included in orientation packets, our community partners such as the Aitkin County Workforce Center and three school districts have CCAP information available, county fair booth and an ad runs weekly in the county newspaper.

B. Agencies are required to work with other public and private community resources that provide services to families. These other resources include, but are not limited to, Child Care Aware, School Readiness, Early Learning Scholarships, Head Start, and Early Childhood Screening. List the community programs your agency works with to maximize community resources for families with young children. ([Minnesota Statute, section 119B.08, subdivision 3 \(1\)](#))

- ACHHS Public Health
- Pine Technical College for Child Care Aware & Parent Aware
- Northeast Minnesota Office of Jobs & Training
- Arrowhead Economic Opportunity Agency
- Lakes and Pines Community Action Council - Head Start
- Aitkin Public School District
- Hill City Public School District
- McGregor Public School District

C. How do you work with the community based programs and service providers identified above to maximize public and private community resources for families with young children? Include in this description the methods used to share information, responsibility, and accountability among these service and program providers as you work to foster collaboration among agencies and other community-based programs that provide flexible, family-focused services to families with young children and to facilitate transition into kindergarten.

For a more sparsely populated county, Aitkin County Health and Human Services communicates with many service providers starting with our own agency. These all represent opportunities for ACHHS employees to field questions and promote CCAP:

- The ACHHS Child Care Licensor includes information about CCAP in the packets that day care providers receive during the licensing and re-licensing process.
- The ACHHS Public Health Department meets with families with preschool children through the Family Home Visiting Program, WIC Program, and preschool screening process and activities.
- ACHHS Public Health also promotes the Child and Teen Checkup program with our county residents.

-ACHHS Nurses and Social Workers have many contacts with Head Start and the three special education co-ops that serve our school districts.

-ACHHS also has a close relationship with our three public school districts, each of which provides school district residents with access to preschool programming and early childhood family education activities.

ACHHS has a strong and positive relationship with two employment service agencies, Northeast Minnesota Office of Jobs and Training and Arrowhead Economic Opportunity Agency. ACHHS Financial Workers and the employment counselors meet regularly to consult on mutual program areas and specific clients. The employment counselors are strong advocates of CCAP and how it can be used to assist families with young children move toward self-sufficiency.

Finally, ACHHS collaborates with Pine Technical College in Pine City for access to Child Care Aware and Parent Aware. Child Care Aware is a state-wide network of organizations that is available to assist families, early childhood professionals, and the community with child care information, training for providers, resources and services for parents as they look for high-quality day care, affordable day care. ACHHS contracts with Pine Technical College to bring trainings right to our building. Child Care Aware literature is available to parents who come to ACHHS for services and information, and Child Care Aware information is shared with licensed day care providers through our day care licensor.

- D.** Copies of the proposed plan must be made reasonably available to the public, including those interested in child care policies such as parents, child care providers, culturally specific service organizations, Child Care Aware of Minnesota agencies (child care resource and referral), interagency early intervention committees, potential collaborative partners and agencies involved in the provision of care and education to young children. **You must allow time for public review and comment prior to submitting this plan to DHS for approval.** ([Minnesota Statute, section 119B.08, subdivision 3 \(2\)](#))

D1. Describe your procedures and methods to make copies of the draft plan reasonably available to the public.

Online at <http://www.co.aitkin.mn.us/Departments/Human-Svcs/financial-svcs.html> (currently under construction), can be mailed out if a phone request is made at 218-927-7200 and it can be picked up at the front desk of ACHHS

D2. How long did you allow for public review?

Two weeks after submission of the plan.

- E.** After your plan is approved by DHS, do you post your approved county/tribal plan on your website? Yes No

III. Eligibility

A. Education plans under the Basic Sliding Fee Program (BSF)

Prior to completing this section, please review [Minnesota Rules, part 3400.0040](#) and [Minnesota Statutes 119B.07](#) in their entirety to ensure your policies are in compliance.

1. High school diploma/GED high school equivalency diploma

1a. Do you approve all high school and GED programs? Yes No

1b. Identify any circumstances when you would end a student's Basic Sliding Fee education plan for a high school or GED program. Students cannot be required to maintain a certain GPA.

All students must maintain at least good academic standing as determined by the educational institution is the measure a student must meet to maintain eligibility for CCAP. Attendance is also a measure we utilize.

2. Remedial and basic skills courses (includes Adult Basic Education and English as a Second Language)

2a. Do you approve all remedial and basic skills courses? Yes No

2b. Identify any circumstances when you would end a student's Basic Sliding Fee education plan for a student attending a remedial or basic skills course.

All students must maintain at least good academic standing as determined by the educational institution is the

measure a student must meet to maintain eligibility for CCAP. Attendance is also a measure we utilize.

3. Post-secondary programs

3a. Describe your policy and procedures for approving a course of study that will lead to employment for a post-secondary student under Basic Sliding Fee.

Child Care needed to attend post secondary education, Aitkin County requests the individual complete Aitkin County Employability Development Plan (EDP). Curriculum guide, school schedule and financial aid package requested for program they will be attending. Team meeting consisting of child care worker, supervisor & Employment Service Counselor held to determine acceptance or denial of course. Employment Services utilized as they have the resources to determine in demand employment and placement rates. Approval or denial of the Post Secondary Child Care Grant (PSCCG) from the school requested. If application for PSCCG is approved that will cover the same child care expenses that could be paid by CCAP, the entire PSCCG must be used before CCAP can begin or continue payments. Aitkin County would suspend the CCAP case until the PSCCG funds have been depleted.

3b. Identify the factors that contribute to the above policy (for example: the availability of jobs where family resides or intends to reside, wage data, job placement rates in field of study).

On the Aitkin County Employability Development Plan (EDP) factors such as course of study, planned dates of attendance, relative previous education and employment, placement rates, job availability & future salary are considered prior to approval of CCAP.

3c. Identify any circumstances when you would end a student's Basic Sliding Fee education plan for a student attending a post-secondary program.

Post-secondary students must apply for Post-Secondary Child Care Grant if available, at their school of attendance prior to any county funding. If other expenses not covered by CCAP as listed in the CCAP Manual Chapter 9.9.3 can be paid by the Child Care Grant these expenses will be paid out of the grant first and if there are remaining expenses CCAP eligibility will be determined to cover the remaining expenses. All students must maintain at least good academic standing as determined by the educational institution.

4. Changes to Basic Sliding Fee (BSF) education plans

4a. Do you have a different approval policy if a participant requests a change to their education plan? Yes No

B. Basic Sliding Fee Waiting List management

1. Priorities for service

Have you established sub-priorities for the fifth priority Basic Sliding Fee waiting list beyond those required in [Minnesota Statute, section 119B.03, subdivision 4](#)?

Yes No

2. Six month review of Basic Sliding Fee Waiting List

CCAP Policy Manual,
Chapter 4.3.12.12

Minnesota Statute, section
119B.03, subdivision 2

2a. Statute requires that you review and update your waiting list at least every six months. How are families notified of this six month review? Describe your agency's process for reviewing and updating the waiting list. Please include your agency's six month review letter in Section IX.B. If your agency does not currently have a waiting list, describe your process in the event your agency does start a waiting list.

Every month the wait list is reviewed and families on the list for six months were notified by letter to review the previous BSF request and continual need for CCAP. If information is not returned within 15 days, families are removed from the waiting list.

2b. When families are removed from the waiting list for not responding to the six month review are they sent an additional notice or does the six month review letter include notification they will be removed from the waiting list if they do not respond?

Information about them being removed from the list is covered in the initial letter.

3. Applications mailed to families on the Basic Sliding Fee Waiting List

Applications must be sent to families on the waiting list when there is funding available for Basic Sliding Fee. When do you remove the family from the waiting list?

- Family is removed from the waiting list when the application is sent to the family. The notice sent with the application informs the family that their name has been removed from the waiting list.
- Family is removed from the waiting list when you receive the completed application. If no application is received, the family is removed at the end of the time period allowed for returning the application. The notice sent with the application informs the family.

4. Temporarily ineligible families on the Basic Sliding Fee Waiting List

When a family reaches the top of the waiting list and is temporarily ineligible for child care assistance, leave the family at the top of the waiting list for a period of time not to exceed 90 calendar days, according to priority group and serve the applicant who is next on the waiting list unless an alternative procedure is provided in the agency's plan.

Minnesota Rules, part 3400.0040, subpart 17

Minnesota Rules, part 3400.0060, subpart 6

Are there exceptions to the 90 day policy that extends the timeframe for a family who has reached the top of the waiting list and is temporarily ineligible? Yes No

C. Child care for job search activities

1. When you authorize child care assistance during job search activities for families without an approved employment plan, how many hours do you authorize?

- Authorize the number of hours requested by the participant
- Authorize a standard number of hours **determined by the agency.**

Minnesota Rules, part 3400.0040, subpart 15a

CCAP Policy Manual, Chapter 9.18

2. Do you verify the actual number of hours spent on job search? Yes No

D. Child care for school release days

How do case workers and billing workers authorize care for school release days in your agency?

- Authorize actual hours needed and increase or decrease hours based on known school release days.
- Authorize the hours care is needed when there are no school release days.
- Authorize the highest number of hours care is needed with the provider.
- Other method.

CCAP Policy Manual, Chapter 9.1.3

How do you communicate scheduled and authorized hours to parents, providers and billing workers?

-Accounting staff communicates with CCAP Worker when there is a difference in hours on the billing form. CCAP Worker approves additional hours for no school days and case notes the file at that time. Accounting staff approves increased payment.

-Each time an SA is created the days and times a child is authorized for care is noted. If there is a change all parties are notified of the change. This information is also case noted each time.

E. Child care for families with flexible schedules

How do case workers and billing workers authorize care for families with flexible schedules in your agency?

CCAP Policy Manual,
Chapter 9.1.6

- Authorize the typical number of hours needed and when the schedule requires additional care, the provider bills for the additional care.
- Authorize the minimum number of hours care is needed and when the schedule requires additional care, the provider bills for the additional care. Payment is made by increasing the number of hours listed in the "total hours of care authorized" field on the billing window or by creating a new Service Authorization.
- Authorize the highest number of hours care is needed with the provider. The provider is expected to bill only for the time that care is needed.
- Other method.

How do you communicate scheduled and authorized hours to parents, providers and billing workers?

-Accounting staff communicates with CCAP Worker when there is a difference in hours on the billing form. CCAP Worker approves additional hours for no school days and case notes the file at that time. Accounting staff approves increased payment.
-Each time an SA is created the days and times a child is authorized for care is noted. If there is a change all parties are notified of the change. This information is also case noted each time.

F. Authorizing care for clients with Employment Plans

Job counselors and CCAP workers must communicate child care needs for clients with Employment Plans. Guidance can be found in [CCAP Policy Manual, Chapter 16.1](#).

1. Schedules and Authorizations

CCAP workers must obtain an activity schedule or the days and times that child care is needed. Who is responsible for obtaining the schedule information from the client?

- Job counselor provides schedule or days and times that child care is needed to CCAP worker.
- CCAP worker obtains schedule from client.
- Other method.

2. How do you communicate required information between job counselors and CCAP workers (email, fax, case notes, verbal, DHS-7054, etc.)?

Phone, email, fax, case notes, monthly meetings and the DHS-7054 MFIP/DWP Employment Services Child Care Request. We have a very good relationship with our Job Counselors.

IV. Provider compliance policies

A. Reasons for closing a provider's registration

[Minnesota Statutes, section 119B.13, subdivision 6\(d\)](#) allows counties and tribes to refuse to issue a child care authorization, revoke an existing authorization for a provider, stop payment, or refuse to pay a bill under circumstances described in the six clauses below. Counties and tribes must indicate which clauses they will include in their plan, and must apply the policies consistently to providers.

CCAP Policy Manual,
Chapter 9.3

CCAP Policy Manual,
Chapter 14

- An agency cannot implement these policies without establishing them in their plan.
- An agency must notify their CCAP Policy Specialist at least 10 days prior to closing a provider's registration or taking any other action to enforce any of these policies, except clause 4 when notified by DHS.
- An agency that does not implement these policies may still pursue a fraud disqualification for a provider. These policies can be used in addition to, or in combination with, a fraud disqualification.

Does your agency plan to disqualify providers for reasons listed in Minnesota Statutes, section 119B.13, subdivision 6(d)?

- Yes
- No

Which clause(s) does your agency plan to implement? Check all that apply.

- Clause 1:** A provider admits to intentionally giving the agency materially false information on the provider's billing forms.

If you checked Clause 1, your agency must also pursue, at minimum, a disqualification and establishment of an Intentional Program Violation (IPV) using the Administrative Disqualification (ADH) process described in Chapter 14 of the CCAP Policy Manual. The agency should consider pursuing a fraud determination through other means described in section 14.12.6 in the CCAP Policy Manual. There also may be overpayments charged to the provider applied to time periods when Clause 1 occurred.

When enforcing this clause, you have the option to use MEC² generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

What type of notice will you send to families? MEC² generated notices DHS optional notices

What type of notice will you send to providers? MEC² generated notices DHS optional notices

Note: If your agency uses DHS optional notices, you must also close the provider's registration in MEC². Contact your CCAP Policy Specialist for system instructions.

- Clause 2:** The agency finds a preponderance of evidence that the provider intentionally gave the agency materially false information on the provider's billing forms or attendance records.

If you checked Clause 2, your agency must also pursue, at minimum, a disqualification and establishment of an Intentional Program Violation (IPV) using the Administrative Disqualification (ADH) process described in Chapter 14 of the CCAP Policy Manual. The agency should consider pursuing a fraud determination through other means as described in section 14.12.6 in the CCAP Policy Manual. There also may be overpayments charged to the provider applied to time periods when Clause 2 occurred.

When enforcing this clause, you have the option to use MEC² generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

What type of notice will you send to families? MEC² generated notices DHS optional notices

What type of notice will you send to providers? MEC² generated notices DHS optional notices

Note: If your agency uses DHS optional notices, you must also close the provider's registration in MEC². Contact your CCAP Policy Specialist for system instructions.

- Clause 3:** A provider is in violation of Child Care Assistance Program rules, until the agency determines the violations have been corrected.

- Clause 4:** A provider is operating after receipt of a licensing order of suspension or revocation (this occurs when providers are appealing the revocation or suspension) or a final order of conditional license, for as long as the conditional license is in effect.

Note: Agencies do not have the option to close registrations of providers operating with conditional licenses.

If you choose this option, DHS will send you a list once a month to inform you of providers in this category. You may act sooner if you learn of this licensing status through your licensors, etc. Contact your CCAP Policy Specialist if you are planning to take action prior to receiving the monthly DHS listing.

What licensing violations are subject to this clause?

Providers with a suspended license? Yes No

When applying this clause for a provider with a suspended license, what provider types will you apply the clause to?

Licensed family child care Licensed centers Both

Providers with a revoked license? Yes No

When applying this clause for a provider with a revoked license, what provider types will you apply the clause to?

Licensed family child care Licensed centers Both

When enforcing this clause, you have the option to use MEC² generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

What type of notice will you send to families? MEC² generated notices DHS optional notices

What type of notice will you send to providers? MEC² generated notices DHS optional notices

Note: If your agency uses DHS optional notices, you must also close the provider's registration in MEC². Contact your CCAP Policy Specialist for system instructions.

Clause 5: A provider submits false attendance reports or refuses to provide documentation of the child's attendance upon request.

How will your agency determine the provider has corrected the condition?

- The provider must provide the attendance reports as requested.
- The falsified documents must be corrected and signed off by the parent/guardian for correctness.
- All attendance reports are to be retained for six years.

Your agency may withhold payment for a period of up to three months beyond the time the condition has been corrected.

Will you apply a penalty period beyond when the condition is corrected? Yes No

When enforcing this clause, you have the option to use MEC² generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

What type of notice will you send to families? MEC² generated notices DHS optional notices

What type of notice will you send to providers? MEC² generated notices DHS optional notices

Note: If your agency uses DHS optional notices, you must also close the provider's registration in MEC². Contact your CCAP Policy Specialist for system instructions.

Clause 6: A provider gives false child care price information.

How will your agency determine the provider has corrected the condition?

- The provider must correct their policy with the correct pricing information
- The provider must charge CCAP families the same rate as non-CCAP families and vice versa.

Your agency may withhold payment for a period of up to three months beyond the time the condition has been corrected.

Will you apply a penalty period beyond when the condition is corrected? Yes No

When enforcing this clause, you have the option to use MEC² generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

What type of notice will you send to families? MEC² generated notices DHS optional notices

What type of notice will you send to providers? MEC² generated notices DHS optional notices

Note: If your agency uses DHS optional notices, you must also close the provider's registration in MEC². Contact your CCAP Policy Specialist for system instructions.

B. Notification to providers

Your agency must notify all currently registered providers and any new providers wishing to register with your agency of the provider compliance clause(s) being implemented. Notification options include:

- Sending a mailing to all providers registered with your agency.
- Adding information to your agency's provider registration packets.

How will you notify providers about the provider compliance clauses your agency is choosing to implement? Add the notification document(s) to Section IX.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval.

ACHHS will send a memo to existing provider and add the memo to the provider registration packets for new providers. This memo will have the approved 2018-2019 Child Care Assistance Plan attached for all providers to review. This memo would be written and sent after final approval of the 2018-2019 CCAP Plan.

Note: This notice differs from the adverse action notice your agency sends when closing an individual provider's registration under these clauses.

V. Policies applicable to legal nonlicensed (LNL) providers

A. Unsafe care criteria

Individuals must pass a background study prior to being approved as an LNL provider. You have the option to apply additional conditions, beyond the background study disqualifications, under which care is considered unsafe. DHS recommends you review the following sections of statute to ensure that your policies are not requirements that are applied to all providers:

- [Minnesota Statute, sections 119B.125, subdivision 2](#)
- [Minnesota Statute, sections 245C.14 or 245C.15](#)

Note that a conviction for a crime or offense not listed in sections 245C.14 or 245C.15 is not an automatic bar to authorization as an LNL provider. A conviction for a crime or offense not listed may only bar an authorization if the crime or offense reflects on the provider's ability to provide care.

Do you apply additional conditions of unsafe care **beyond those contained in Minnesota Statute, sections 245C.14 or 245C.15**, to LNL providers or LNL care arrangements? Yes No

B. Background checks for legal nonlicensed (LNL) providers

You are required to complete a criminal background study on all LNL providers and persons residing in their households.

1. Do you charge a fee to unlicensed providers when completing the required criminal background check?

Yes No

How much do you charge for the background check? Fees are not to exceed \$100 annually.

per family \$ 100.00 per person

2. How often do you reauthorize providers?

Yearly Every Two Years Other

3. Do you request background information from other agencies when a provider is registered by another agency?

Yes No

C. Records of substantiated parental complaints

Within 24 hours of receiving a complaint concerning the health or safety of children under the care of an LNL provider, an agency must relay the complaint to the agency's child protection agency, county public health agency, local law enforcement, and/or other agencies with jurisdictions to investigate complaints. When a report is substantiated, see [Minnesota Rules, part 3400.0140, subpart 6](#), for record retention and provider payment policies.

Minnesota Statutes, chapter 13

When complaints are substantiated, how do you:

- a. Maintain these records, and
- b. Make this information available to the public when requested?

All parental complaints are logged on a complaint form. Providers will receive information at Orientation regarding complaints and how the information will be made available as authorized under MN Statutes, Chapter 13.

VI. Special needs rates

Special needs rates, above the standard maximum rates, can be paid to providers if approved by the commissioner of DHS (up to the provider's charge).

Minnesota Statute, section 119B.13, subdivision 3

Minnesota Rules, part 3400.0130, subpart 3

CCAP Policy Manual, Chapter 9.54

A. Special needs rates for children in at-risk programs

You may choose to pay special needs rates to certain populations defined as "at-risk" in your County and Tribal Child Care Fund Plan. You must have DHS approval for these rates to be paid. At-risk means environmental or familial factors exist that could create barriers to a child's optimal achievement. If you have chosen to pay special needs rates for specialized care to identified at-risk populations, include information for each facility that provides specialized services. If you have a contract or agreement with the identified facilities, submit the contract or agreement as an attachment to this plan.

Identified at-risk population group	Facility name	Rate by age category	Rate schedule	Begin date	Documentation that supports the approved rate that is on file from the provider	Documentation in the file that supports that the child is included in the at-risk population

If this information changes, including additional population groups identified by your agency, new facilities, or a proposed change in rates paid, DHS must approve the change. Submit a request to amend your plan. This information will be used during case audits.

B. Special needs rates for care of sick children

You may choose to pay special needs rates for the care of sick children. Special needs rates for care of sick children apply to rates paid above the standard maximum rates to a provider that cares for sick children. You must have DHS approval for these rates to be paid.

Minnesota Rules, part 3400.0110, subpart 8

1. Identify the provider type, rate(s) approved, rate schedule and the approved rate begin date for each special need rate currently paid above the standard maximum rate when care is for a sick child. **Do not attach client-specific information to this plan.**

Provider type	Rate by age category	Rate schedule	Approved rate begin date

VII. Payment policies

A. Payment to two providers when a child is sick

When a child is sick and being cared for by a second provider, do you pay both the regular provider that charges an absent day if the child has not reached the absent day limit and the second provider that is caring for the child?

Minnesota Rules, part 3400.0110, subpart 8

Yes No

Note: If the rate paid for care of sick children exceeds maximum rates, the "rates for care of sick children" must be included in the special needs rates section of this plan.

B. Submission of invoices

If a provider receives an authorization of care and a billing form for an eligible family, the provider must submit the billing form to the agency within 60 days of the last date of service on the billing form. If the provider shows good cause for the delay then you may pay bills submitted after 60 days.

Minnesota Statute, section 119B.13, subdivision 6

1. What is your **definition of good cause** for delay in submitting a billing form? Agency error must be included in this definition.

Agency error, natural disaster, provider's illness, death or death in immediate family, disputes between customer and provider that cannot be resolved in 60 days. Payment can be made up to one year.

2. When is a provider signature not needed on a billing form?

Due to Aitkin County using electronic submission through MEC2 Pro, we are not requiring provider signatures on billing forms.

3. Do you require the parent signature on the billing form? Yes No

C. Underpayments

If you have underpaid according to Child Care Assistance Program policies, do you make corrective payments?

Yes No

If yes, under what conditions do you make corrective payments? You may apply criteria such as a dollar amount or how far back the situation occurred.

Agency error. Payment can be made up to one year.

D. Provider rates

Does your agency enter provider rates on MEC? Yes No

E. Absent day policy

The Child Care Assistance Program limits the number of paid absent days for licensed child care providers and license-exempt centers. Payment may exceed absent day limit at the request of the provider and with the approval of the county or tribe, if at least one parent in the family:

Minnesota Statute, section 119B.13, subdivision 7

- Is under the age of 21; and
- Does not have a high school or general equivalency diploma; and
- Is a student in a school district or another similar program that provides or arranges for child care, parenting support, social services, career and employment supports, and academic support to achieve high school graduation.

Do you have any registered child care providers that meet these requirements? Yes No

VIII. Program integrity

A. Agency case management reviews can be used to determine causes of errors and identify specific policies needing review.

1. Do you conduct case management reviews of CCAP? Yes No
2. Do you conduct case management reviews of CCAP providers? Yes No

IX. Other information

A. Additional agency optional policies

Do you have any other policies that apply to the Child Care Assistance Program which are not specifically required by state or federal rule or law? ([Minnesota Rules, part 3400.0140, subpart 1](#)) ([Minnesota Rules, part 3400.0150, subpart 2](#))

B. Agency developed forms

All agency developed forms and notices used for CCAP must reflect current policy and be approved by DHS. Counties and tribes must use forms developed by DHS for administration of CCAP. Agency developed forms must not duplicate or replace DHS forms. Local agencies may create supplemental forms subject to DHS approval. Forms must be written using plain language standards and meet other communication guidelines.

Use this table to list all agency developed forms, notices, and documents.

All new and/or amended forms, notices, or written documents that have not been previously approved must be submitted with this plan for DHS approval.

Ensure that all forms and documents previously approved by DHS are in compliance with current statute, memos, bulletins, and the CCAP Policy Manual.

Note: Refer to the DHS memo announcing this plan for a list of DHS created documents required for CCAP. Do not list or submit DHS created documents.

Name of Agency Developed Form	Form reflects current CCAP policy	Status of current form
	<input type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS approved <input type="checkbox"/> Needs DHS approval AND <input type="checkbox"/> Form is submitted with plan

X. County and tribal assurances

Check the designated boxes below to assure compliance.

A. The county or tribe is informing parents about the following as required under [Minnesota Rules, part 3400.0035, subpart 1](#).

- The documentation necessary to confirm eligibility for CCAP
- Waiting list information
- Application procedures

County or tribe assures compliance

In addition, the agency uses the following:

["Parent Acknowledgement When Choosing a Legal Nonlicensed Provider"](#) (DHS-5367) assures compliance with the following:

- Families rights and responsibilities when choosing a provider

"[Do You Need Help Paying for Child Care?](#)" (DHS-3551) assures compliance with the following:

- Federal and state child and dependent care tax credits
- Earned income credits
- Other services for families with young children
- Child Care Aware services
- Child Care Assistance Program eligibility requirements
- Family copayment fees and how computed
- Information about how to choose a provider
- Availability of special needs rates
- The family's responsibility for paying provider charges that exceed county maximum payments in addition to the family copayment fee; and
- The importance of prompt reporting of a move to another county to avoid overpayments and to increase the likelihood of continuing benefits.

County or tribe assures compliance and uses DHS-5367 and DHS-3551

B. The agency is distributing the following required information to registered legal nonlicensed providers:

Distribution requirements may be accomplished by giving the materials directly to the provider, or to the parent and establishing a method to ensure that the provider receives the material as required under [Minnesota Rules, part 3400.0140, subpart 5](#).

Use of "[Health and Safety Resource List for Parents and Legal Nonlicensed Providers](#)" (DHS-5192A) assures compliance with the following:

- Child immunization requirements
- Child nutrition
- Child protection reporting responsibilities
- Health and safety information
- Child development information
- Referral to Child Care Aware; and
- Resources and training options to meet federal and/or state-required health and safety topics

County or tribe assures compliance by use of DHS-5192A

OR

County or tribe assures compliance by sending other materials that meet these requirements
(Do not attach copies of these materials to this plan)

C. Child Care Assistance Program (CCAP) Tasks and Timeframes

The county or tribe must perform tasks and meet timeframes required to administer the Child Care Assistance Program. These tasks include, but are not limited to:

- Assessing CCAP eligibility
- Registering child care providers
- Processing payments

These tasks and timeframes are required under the Child Care and Development Fund (CCDF), 98.11(a)(3) Administration under Contracts and Agreements, Minnesota Statutes 119B, Minnesota Rules 3400, CCAP Policy Manual, and MEC² User Guide.

County or tribe assures compliance

D. Child Care Assistance Program (CCAP) Funding

DHS releases a forecast twice each fiscal year (November and February) which includes the overall budget for the Child Care Assistance Program, including all child care subprograms and administrative dollars. The county or tribe is reimbursed administrative dollars as outlined in Minnesota Statutes 119B.15. In addition to receiving the Basic Sliding Fee allocation, the county or tribe contributes a fixed local match equal to that county's/tribe's calendar year 1996 contribution, as outlined in Minnesota Statutes 119B.11, Subd. 1.

The county or tribe is provided a calendar year Basic Sliding Fee allocation, published at least annually and based on the formula outlined in Minnesota Statutes 119B.03, Subd. 6. When there is not sufficient funding to serve all eligible non-MFIP families, the county or tribe manages the Basic Sliding Fee waiting list according to the priorities outlined in Minnesota Statutes 119B.03, Subd. 4.

County or tribe assures compliance

E. Child Care Assistance Program (CCAP) Reporting

The county or tribe is required to submit timely reports to the Department of Human Services. The reports include, but are not limited to:

- Basic Sliding Fee waiting list
- Override monitoring
- Basic Sliding Fee adjustments

County or tribe assures compliance