

# Administration of the Child Care Assistance Program

## 2018-2019 Blue Earth 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 MEC<sup>2</sup> 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](mailto: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 Blue Earth	GENERAL PHONE NUMBER 507-304-4335	EXTENSION	GENERAL FAX NUMBER 507-304-4336
AGENCY'S FULL NAME Blue Earth County Human Services		CCAP INTAKE PHONE NUMBER 507-304-4335	EXTENSION
MAIN OFFICE STREET ADDRESS 410 S Fifth St	CITY Mankato		ZIP CODE 56001
MAIN OFFICE MAILING ADDRESS (if different) PO Box 3526	CITY Mankato		ZIP CODE 56002-3526

### 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 Tracey	LAST NAME Hansen			
TITLE Fiscal Supervisor		PHONE NUMBER 507-304-4293	EXTENSION	FAX NUMBER 507-304-4336	
EMAIL ADDRESS tracey.hansen@blueearthcountymn.gov		SIR EMAIL ADDRESS X107207			
ADDRESS 410 S Fifth St		CITY Mankato		ZIP CODE 56001	

#### 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 Carol	LAST NAME Carter			
TITLE Child Care Fund Specialist		PHONE NUMBER 507-304-4162	EXTENSION	FAX NUMBER 507-304-4336	
EMAIL ADDRESS carol.carter@blueearthcountymn.gov		SIR EMAIL ADDRESS X107627			
ADDRESS 410 S Fifth St		CITY Mankato		ZIP CODE 56001	

### 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 Carol	LAST NAME Carter		
TITLE Child Care Fund Specialist		PHONE NUMBER 507-304-4162	EXTENSION	FAX NUMBER 507-304-4336	
EMAIL ADDRESS carol.carter@blueearthcountymn.gov		SIR EMAIL ADDRESS X107627			
ADDRESS 410 S Fifth St		CITY Mankato		ZIP CODE 56001	

### 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 Jody	LAST NAME Friton		
TITLE Senior Account Clerk		PHONE NUMBER 507-304-4367	EXTENSION	FAX NUMBER 507-304-4336	
EMAIL ADDRESS jody.friton@blueearthcountymn.gov		SIR EMAIL ADDRESS X107625			
ADDRESS 410 S Fifth St		CITY Mankato		ZIP CODE 56001	

### 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 Carol	LAST NAME Carter		
TITLE Child Care Fund Specialist		PHONE NUMBER 507-304-4162	EXTENSION	FAX NUMBER 507-304-4336	
EMAIL ADDRESS carol.carter@blueearthcountymn.gov		SIR EMAIL ADDRESS X107627			
ADDRESS 410 S Fifth St		CITY Mankato		ZIP CODE 56001	

## 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](#))

Information is available in packets distributed to all persons applying for public assistance. Daycare providers receive information on CCA as part of their orientation and during meetings held by CCAP staff or licensing staff. The county website also provides information on the different CCA programs. Information is shared informally throughout the rest of the agency. Agency participates in the local college resource fair.

**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 \(1\)](#))

Families First, Head Start, IEIC Committee, Early Learning Scholarships, Children's Mental Health, PSOP program, Employment Services

**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.

A referral for services to an outside agency may be made via phone or by providing information to the family. Agency meets with Employment Services as needed to develop processes to expedite services between the county and the employment services office. Agency coordinates with providers regarding the parent aware scholarships that might be available to the families.

**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.

Copies are made available to the local CCR&R, the Blue Earth-Nicollet IEIC, Blue Earth County Employment services and public when requested. A copy of the draft plan is posted on the county website and in the office lobby for 2 weeks.

**D2.** How long did you allow for public review?

2 weeks

**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.

Not applicable

### 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.

Not applicable

### 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.

Students must be in education or training programs that lead to reasonable employment opportunities in order for Child Care Assistance to be approved. Course of study must be a program that would lead to a starting wage that is at least the Minnesota minimum wage as verified by [iseek.org](#). Client must provide documentation of their school enrollment.

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).

The educational institution must be accredited by the Higher Learning Commission. Verification of accreditation will be verified using the Higher Learning Commission's website ([www.hlcommission.org](#)).

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

Not applicable

### 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.

At the beginning of every month, letters are sent out to those reaching 6 months on the waiting list asking them if they wish to continue to be on the waiting list. Clients are asked to respond to the notice within 15 days.

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?

No-The initial notification includes the language that they will be removed from the list if they do not respond.

### 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 authorize child care for school release days?

Hours are authorized based on anticipated need for before/after school care. When the billing is received and includes a non-school day the hours are increased at that time to cover the additional hours needed for the non-school day.

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

Case notes, comments on service authorization notices to parents and providers, system memos, emails, phone calls

## 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 does your agency authorize child care for families with flexible schedules?

Blue Earth County uses both the 1st and 2nd method based on what is most suitable for the case.

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

Case notes, comments on service authorization notices to parents and providers, system memos, emails, phone calls

## 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.

How do CCAP workers receive schedule information for Employment Plan activities?

Workers can obtain the information from Employment Services, from the client, directly from the employer with a signed release, from the eligibility worker or other means agreed upon with the client.



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

Communication can occur via email, fax, case notes, verbally or the use of status updates.

## 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 MEC<sup>2</sup> 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?  MEC<sup>2</sup> generated notices  DHS optional notices

What type of notice will you send to providers?  MEC<sup>2</sup> generated notices  DHS optional notices

*Note:* If your agency uses DHS optional notices, you must also close the provider's registration in MEC<sup>2</sup>. 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 MEC<sup>2</sup> 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?  MEC<sup>2</sup> generated notices  DHS optional notices

What type of notice will you send to providers?  MEC<sup>2</sup> generated notices  DHS optional notices

*Note:* If your agency uses DHS optional notices, you must also close the provider's registration in MEC<sup>2</sup>. 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 MEC<sup>2</sup> 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?  MEC<sup>2</sup> generated notices  DHS optional notices

What type of notice will you send to providers?  MEC<sup>2</sup> generated notices  DHS optional notices

*Note:* If your agency uses DHS optional notices, you must also close the provider's registration in MEC<sup>2</sup>. 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 has submitted accurate attendance records for the time period that was requested and has signed a statement that they will comply with the requirement moving forward.

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

How long will payment be withheld once the condition has been corrected (not to exceed three months)?

1 month from the date of correction

When enforcing this clause, you have the option to use MEC<sup>2</sup> 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?  MEC<sup>2</sup> generated notices  DHS optional notices

What type of notice will you send to providers?  MEC<sup>2</sup> generated notices  DHS optional notices

*Note:* If your agency uses DHS optional notices, you must also close the provider's registration in MEC<sup>2</sup>. 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?

Provider has provided a list of clients and date ranges that they misrepresented their price so that corrections (overpayments if applicable) can be made. Provider has submitted a signed statement that they will comply moving forward.

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

How long will payment be withheld once the condition has been corrected (not to exceed three months)?

1 month from the date of correction

When enforcing this clause, you have the option to use MEC<sup>2</sup> 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?  MEC<sup>2</sup> generated notices  DHS optional notices

What type of notice will you send to providers?  MEC<sup>2</sup> generated notices  DHS optional notices

*Note:* If your agency uses DHS optional notices, you must also close the provider's registration in MEC<sup>2</sup>. 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.

Blue Earth County supplies written notice of the requirements to all providers in the registration packet.

*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?

Substantiated complaints as a result of an investigation would be kept in those specific files and public summaries would be kept with CCAP records in a separate file and are made available to the public upon request.

## 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.

Good cause for delay of bill submission occurs when delay is due to agency action/inaction, including retroactive authorization of child care eligibility, system technology problems, natural disasters or other agency based errors.

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

MEC2 PRO billing-Blue Earth County considers the electronic submission of a bill the equivalent of the provider's signature.

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

- 3a. When is a parent signature not needed on a paper billing form?

When a provider is using MEC2 PRO the parent is not required to sign.  
When a family or provider has terminated care and is not available for a signature.

- 3b. Does your agency have any providers using MEC<sup>2</sup> PRO?  Yes  No

- 3c. How does your agency meet the parent signature requirement for providers submitting bills electronically through MEC<sup>2</sup> PRO?

Providers are required to comply with the attendance record keeping/retention requirements as defined in CCAP policy.

## 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.

An underpayment will be made when an agency error is discovered and the error was made in the last 3 months.  
An underpayment will not be made when a family fails to report a change that would have resulted in a lesser co-payment.

## D. Provider rates

Does your agency enter provider rates on MEC<sup>2</sup>?  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

List the providers and provide the following information:

Provider name	MEC <sup>2</sup> Provider ID	How does provider document the services they provide?	How are these requests reviewed by your county/tribe?
Teenage Pregnancy & Parenting Program TA	33218	Facility provides employment, academic supports and child care to teenage parents while attending their school district. There is a Social Worker assigned to each family that works with all issues within the family during the time of their enrollment. The Social Worker documents the services they are providing to the client.	Documentation from the school will be required to verify that the family is complying with the program and what services the program is providing to the family (ex. child care, parenting support, social services, career and employment supports and academic support). If the family is complying with the school program and supports they will be approved for the additional absent days.

## 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

If yes, describe the process, including:

- How cases are selected,
- Which staff complete the reviews,
- What forms are used (use of DHS-5312D is recommended),
- How errors are resolved, and
- How staff are informed of correct policy.

Targeted reviews are conducted quarterly. Cases are selected randomly from case load lists for all CCAP staff. Reviews may also be completed when the Supervisor receives a complaint. Reviews are completed by the Supervisor, but along side of the CCAP staff member assigned to the case. Any errors are discussed and noted in case file. Blue Earth County does not currently use review forms.

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

If yes, describe the process, including:

- How providers are selected,
- Which staff complete the reviews,
- What forms are used (use of DHS-5312E is recommended),
- How errors are resolved, and
- How staff are informed of correct policy.

Reviews are conducted quarterly. Cases are selected randomly from case load lists for all CCAP provider staff. Reviews may also be completed when the Supervisor receives a complaint. Reviews are completed by the Supervisor, but along side of the CCAP staff member assigned to the provider file. Any errors are discussed and noted in the provider file. Blue Earth County does not currently use review forms.

## 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](#))

Blue Earth County will allow the day after Thanksgiving, Good Friday and Christmas Eve as billable holidays without written request from the family. The provider must have the holiday listed in their provider policies. Any time there is a non-custodial parent Blue Earth County will require verification of the parenting/custody schedule prior to authorizing care. Blue Earth County provides an optional form in the application packet and upon request for the family to use to document the parenting/custody schedule. Other types of verifications are also allowed including, but not limited to, court orders and signed statements.

### 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
Child Care Provider General Consent for Release of Information. The intent of this form is to be able to communicate with the provider if the case is closing due to failure to complete renewal or due to lack of other verifications. Based on the new 30 day reinstatement period it would be helpful to let the provider know if the family is eligible for a possible reinstatement or if the family will need to reapply for services if the case closes. Our hope is this will allow for better continuity of care for familie	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS approved <input type="checkbox"/> Needs DHS approval AND <input type="checkbox"/> Form is submitted with plan
Child Care Notice of Decision-Family. This form is used to notify the family when their provider is being closed for program non compliance.	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS approved <input checked="" type="checkbox"/> Needs DHS approval AND <input checked="" type="checkbox"/> Form is submitted with plan
Child Care Notice of Decision-Provider. This form is used to notify the provider when they are being disqualified as a CCAP provider due to program non compliance. (2 forms are being submitted-one for clauses 5 and 6 and one for clauses 1, 2 and 4)	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS approved <input checked="" type="checkbox"/> Needs DHS approval AND <input checked="" type="checkbox"/> Form is submitted with plan
Custody Form-Family. This form is optional for the family to use to verify parenting/custody schedules. The Agency will accept other types of verification as well (ex. court order, signed statement).	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS approved <input type="checkbox"/> Needs DHS approval AND <input type="checkbox"/> Form is submitted with plan
Blue Earth County notification to providers regarding provider non-compliance. This form is in each provider registration packet.	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS approved <input type="checkbox"/> Needs DHS approval AND <input type="checkbox"/> Form is submitted with plan
6 month waiting list form-this form is used to notify the family of their current placement on the waiting list and determines if the family wants to remain on the waiting list.	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS approved <input checked="" type="checkbox"/> Needs DHS approval AND <input checked="" type="checkbox"/> Form is submitted with plan
Waiting list screening document	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS approved <input checked="" type="checkbox"/> Needs DHS approval AND <input checked="" type="checkbox"/> Form is submitted with plan
Waiting list funding available notice to client	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS approved <input checked="" type="checkbox"/> Needs DHS approval AND <input checked="" 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 MEC<sup>2</sup> 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**