Minnesota Department of **Human Services**

Administration of the Child Care Assistance Program

2016-2017 Roseau County and Tribal Child Care Plan

Administration of the Child Care Assistance Program

Background: Counties and tribes must submit a biennial Child Care Plan to the Commissioner. The Child Care Assistance Program (CCAP) rules and laws allow counties 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 Plans. Counties and tribes will receive approval letters for their Child Care Plans from the Commissioner of DHS. This plan period begins on January 1, 2016.

Minnesota Statute, section 119B.08, subdivision 3

Steps to complete the plan process:

Step One
Review the plan. Consider what changes to policies or procedures you will submit as compared to previous plans, or if any of the policy or procedures are new. Involve other staff as needed.
Note: New questions have been added and questions have been re-ordered.

Step Two
Draft the plan responses.

Step Three
Consider how you will inform or involve stakeholders in review of your plan. **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. You may want to consult with other agency staff such as fraud investigators, income maintenance and employment services staff.

Step Four
Post the draft plan. You must make copies of the proposed plan reasonably available to the public and allow sufficient time for public review and comment. See question II.C of this plan; you will need to describe methods used to make the plan available to the public, particularly to those members listed in II.C.

Step Five
Submit the plan by the deadline, and note these guidelines:
- All optional county/tribal Child Care Assistance Program policies must be identified in this plan. See question IX.A.
- Do not answer questions by stating that the reviewer should refer to a previous plan.
- Submit forms that have not been previously submitted and approved. DHS and MEC² standardized forms should not be submitted. Refer to the DHS memo announcing this plan for a list of DHS created documents that are required for CCAP. Incomplete plans will be returned. Be sure to provide an answer to each question.

Amendments to Plans
A county or tribe may amend their Child Care 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 CCAP technical assistance liaison.

Return completed plans by **Monday, September 14, 2015** to:
DHS.CCAP@state.mn.us

Minnesota Department of **Human Services**

DHS-5107-ENG 7-15

Administration of the Child Care Assistance Program

I. Child Care Assistance Program contacts

A. County or tribal agency

COUNTY OR TRIBE NAME	GENERAL PHONE NUMBER	EXTENSION	GENERAL FAX NUMBER
Roseau	218-463-2411		218-463-3872

AGENCY'S FULL NAME	CCAP INTAKE PHONE NUMBER	EXTENSION
Roseau County Social Services	218-463-2411	

MAIN OFFICE STREET ADDRESS	CITY	ZIP CODE
208 6th St SW	Roseau	56751

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

This person(s) will be the primary contact for DHS CCAP.

○ Mr. ◉ Mrs. ○ Ms.	FIRST NAME	LAST NAME
	Kaydell	Majer

TITLE	PHONE NUMBER	EXTENSION	FAX NUMBER
Case Aide	218-463-2411		

EMAIL ADDRESS	SIR EMAIL ADDRESS
kaydell.majer@co.roseau.mn.us	X168505@cty.dhs.state.mn.us

ADDRESS	CITY	ZIP CODE
208 6th St SW	Roseau	56751

2. County or tribal client access contact

Include a lead person or multiple people that have contact with CCAP clients in your county.

○ Mr. ◉ Mrs. ○ Ms.	FIRST NAME	LAST NAME
	Kaydell	Majer

TITLE	PHONE NUMBER	EXTENSION	FAX NUMBER
Case Aide	218-463-2411		218-463-3872

EMAIL ADDRESS	SIR EMAIL ADDRESS
kaydell.majer@co.roseau.mn.us	X168505.cty.dhs.state.mn.us

ADDRESS	CITY	ZIP CODE
208 6th St SW	Roseau	56751

○ Mr. ◉ Mrs. ○ Ms.	FIRST NAME	LAST NAME		
	Karla	Langaas		
TITLE		PHONE NUMBER	EXTENSION	FAX NUMBER
Social Work Supervisor		218-463-2411		218-463-3872
EMAIL ADDRESS		SIR EMAIL ADDRESS		
karla.langaas@co.roseau.mn.us				
ADDRESS		CITY		ZIP CODE
208 6th St SW		Roseau		56751

○ Mr. ○ Mrs. ◉ Ms.	FIRST NAME	LAST NAME		
	Trisha	Braaten		
TITLE		PHONE NUMBER	EXTENSION	FAX NUMBER
Social Worker		218-463-2411		218-463-3872
EMAIL ADDRESS		SIR EMAIL ADDRESS		
trisha.braaten@co.roseau.mn.us		X168202.cty.dhs.state.mn.us		
ADDRESS		CITY		ZIP CODE
208 6th St SW		Roseau		56751

3. Management of waiting list contact

Identify the waiting list contact person in your county or tribe. The waiting list contact person identified should be responsible for maintaining the waiting list, including being able to respond to the state's questions about particular families reported on the waiting list. If more than one person is responsible for maintaining the waiting list, identify one person that can be contacted by state staff for the agency.

○ Mr. ◉ Mrs. ○ Ms.	FIRST NAME	LAST NAME		
	Kaydell	Majer		
TITLE		PHONE NUMBER	EXTENSION	FAX NUMBER
Case Aide		218-463-2411		
EMAIL ADDRESS		SIR EMAIL ADDRESS		
kaydell.majer@co.roseau.mn.us		X168505@cty.dhs.state.mn.us		
ADDRESS		CITY		ZIP CODE
208 6th St SW		Roseau		56751

D. Subcontracted services

Minnesota Rules, part 3400.0140, subpart 7

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.

If you are planning any changes in the administration of your CCAP, notify your policy liaison 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 administration of CCAP? ○ Yes ◉ No

II. Collaboration and outreach

A. Describe your methods for providing information on the availability of child care assistance to individuals, child care providers, social service agencies, local news, etc. to ensure families are aware of the availability of the assistance.

Minnesota Rules, part 3400.0140, subpart 2

Roseau County Social Services provides information about the child care assistance programs directly to individuals requesting that information. Additionally, program summary data is provided to financial assistance applicants. Information about the child care assistance programs is also provided to the employment and training agencies. Local newspapers are utilized for public notice of the program availability. Applications are available in person, by phone and through ApplyMn.

B. Describe ways that you collaborate with other community based programs and service providers 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 the identified service and program providers, as listed in statute, 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.

Minnesota Statute, section 119B.08, subdivision 3 (1)

The CCAP is a well known program to other agencies such as Public Health, Head Start, Job Services, Welfare to Work, County Eligibility Workers and county school districts. Families with young children are encouraged to contact county social services or other community providers to access programs that may be of help. Our agency seeks opportunity to partner and engage with the above community agencies and program. Pamphlets and applications have been dispersed to the above mentioned community agencies.

C. Describe procedures and methods that were used to make copies of this plan reasonably available to the public and the time that was allowed for public review and comment. You must make copies of the proposed plan reasonably available to the public, including members of the public particularly 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 submission of this plan to DHS for approval.

Minnesota Statute, section 119B.08, subdivision 3 (2)

Local newspapers are utilized for public notice of the program availability. Input is also requested from licensed CC providers and program recipients on an on-going basis.

D. 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.

Minnesota Rules, part 3400.0040

Minnesota Statute, section 119B.07

1. High school diploma/GED high school equivalency diploma

1a. Describe your policy and procedures for approving an acceptable course of study that will reasonably lead to completion of a high school diploma or GED high school equivalency diploma.

Require verification from the educational programs that verifies enrollment and anticipated hours of attendance time and length of time anticipated to complete the program. To remain eligible, the student must be in good standing and making satisfactory progress towards completion of the degree.

1b. Identify the factors that contribute to the above policy (for example: program accreditation, online learning programs or alternative programs approved by the Minnesota Department of Education)

There are numerous avenues to obtain a high school diploma/GED. We rely on the education institutions to identify

attendance and progress requirements.

1c. Identify any factors which would result in the termination of a Basic Sliding Fee education plan for these students.

We expect the student to remain in good standing with the educational institution and make satisfactory progress toward completions, as defined by the educational institution.

2. Remedial and basic skills courses

2a. Describe your policy and procedures for approving remedial and basic skills courses that are needed to pursue employment or education leading to employment. This includes English as a Second Language classes.

Require verification from the educational programs that verifies enrollment and anticipated hours of attendance time and length of time anticipated to complete the program. To remain eligible, the student must be in good standing and making satisfactory progress towards completion of the degree.

2b. Identify the factors that contribute to the above policy (for example: program accreditation, online learning programs)

We rely on the education institutions to identify attendance and progress requirements.

2c. Identify any factors which would result in the termination of a Basic Sliding Fee education plan for these students.

We expect the student to remain in good standing with the educational institution and make satisfactory progress toward completions, as defined by the educational institution.

3. Post-secondary

3a. Describe your policy and procedures for approving an acceptable course of study that will reasonably lead to full-time employment for a post-secondary student applicant under the Basic Sliding Fee program.

Client must provide information on course of study to their Child Care Worker who will determine whether it meets criteria for approval. All Education Plans must lead to self-sufficiency. The maximum length of time a student is eligible for child care is no more than the time necessary to complete the credit requirements for an associate or baccalaureate degree as determined by the educational institution, excluding basic or remedial education programs needed to prepare for postsecondary education or employment. Client must have an approved Education Plan.

3b. Identify the factors that contribute to the above policy (for example: job availability, wage data, job placement rates)

Rationale for the above policy is based on the intent of the program to support training which can reasonably lead to the equivalent of full-time employment at minimum wage of above.

3c. Identify any factors which would result in the termination of a Basic Sliding Fee education plan for a post-secondary student.

We expect the student to remain in good standing with the educational institution and make satisfactory progress toward completions, as defined by the educational institution.

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

Is your policy for approving and extending child care assistance for participants whose education programs change the same as the initial approval policy stated in 1a , 2a, and 3a?

◉ 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 Child Care Assistance waiting list beyond those required in Minnesota Statute, section 119B.03, subdivision 4?

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. Describe your agency process for reviewing and updating the waiting list. Include how families are notified of the six month review.

Families are sent a notice regarding their standing on the waiting list and are asked to complete and return a short form indicating that they want to remain on the waiting list. Families are informed that if they do not respond to the notice they will be removed from the waiting list. If the family is removed from the waiting list they are informed they may reapply.

2b. What is your next step for families that do not respond to this review?

If no response is received by the identified deadline for return, the applicant is removed from the waiting list.

2c. When families are removed from the waiting list, how are they informed of this action?

Families are sent a notice regarding their standing on the waiting list and are asked to complete and return a short form indicating that they want to remain on the waiting list. Families are informed that if they do not respond to the notice they will be removed from the waiting list. If the family is removed from the waiting list they are informed they may reapply.

3. Applications that are 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 to add the family to the Basic Sliding Fee Program. At what point 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
- ○ Other.

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

Minnesota Rules, part 3400.0040, subpart 17 | Minnesota Rules, part 3400.0060, subpart 6

When a family advances to the top of your waiting list and is temporarily ineligible for child care assistance, you must 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 county's plan.

Do you have an alternative procedure for temporarily ineligible families who reach the top of the waiting list?

○ 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, is it your policy to:

Minnesota Rules, part 3400.0040, subpart 15a | CCAP Policy Manual, Chapter 9.18

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

NUMBER OF HOURS AUTHORIZED PER WEEK
20

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

D. Child care for school release days

What directive is typically given to case workers and billing workers when authorizing care for school release days?

CCAP Policy Manual, Chapter 9.1.3

- (●) 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.

E. Child care for families with flexible schedules

What directive is typically given to case workers and billing workers when authorizing care for families with flexible schedules?

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.

F. Authorizing care for clients with Employment Plans

Job counselors and CCAP workers must communicate child care needs for clients with Employment Plans. Guidance for workers can be found in 16.1 of the CCAP Policy Manual.

CCAP Policy Manual, Chapter 16.1

1a. 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.

1b. Explain who determines the number of child care assistance hours to authorize:

- (●) CCAP worker
- ( ) Job counselor
- ( ) Other method

2. Explain your method of communicating this required information between job counselors and CCAP workers (email, fax, case notes, verbal, pre-made form, etc.)

Our CCAP Workers email, fax or call the job counselors.

IV. Provider compliance policies

A. Reasons for closing a provider's registration

Minnesota Statutes, section 119B.13, subdivision 6(d) gives counties and tribes options 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 you will include in your plan, and must apply the policies consistently to providers.

Minnesota Statutes 119B.13, subdivision 6(d)

CCAP Policy Manual, Chapter 9.3

CCAP Policy Manual, Chapter 14

Does your agency plan to disqualify providers for reasons listed in Minnesota Statutes, section 119B.13, subdivision 6(d)?
◉ Yes ○ No

Tell us which clause(s) your agency plans 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.

☒ **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.

Note: If you checked clause 1 or clause 2, the 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 proceedings. There also may be overpayments charged to the provider applied to time periods when clauses 1 and 2 occurred.

☐ **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: 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.

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

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

B. Optional forms and notices when closing a provider's registration

When applying the policies described above, some agencies have identified a preference to use non-system generated notices to notify providers and/or parents about the actions taken by the agency. Agencies may choose to send alternate notices to providers and/or families in place of or in addition to Service Authorizations generated by MEC². DHS can provide samples, contact your liaison for these. Forms and documents must comply with current statute, memos, bulletins, and the CCAP Policy Manual. Attach copies of county optional forms or notices used for this purpose.

1. Does your agency plan to send alternate forms or notices to providers? ○ Yes ◉ No
2. Does your agency plan to send alternate forms or notices to families? ○ Yes ◉ No

C. Other agency specific policies and procedures when closing a provider registration

For clauses 3, 5 and 6, the agency may withhold payment for a period of up to three months beyond the time that the condition has been corrected.

1. When clauses 3, 5 and/or 6 are implemented for a provider, will your county or tribe apply a longer period of time to deauthorize the provider, once the condition is corrected?
   ○ Yes ◉ No

V. Policies applicable to legal nonlicensed (LNL) providers

A. Unsafe care criteria

Minnesota Statute, section 119B.125, subdivision 2 | Minnesota Statutes, chapter 245C

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 a legal nonlicensed family child care 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 legal nonlicensed providers or legal nonlicensed care arrangements?

○ Yes ◉ No

B. Background checks for legal nonlicensed providers

You are required to complete a criminal background study on all legal nonlicensed child care providers and persons residing in their households.

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

   ○ Yes ◉ No

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

   If yes with conditions, describe the conditions below.

   We request it from the other agency and retain a copy in our file.

C. Records of substantiated parental complaints

1. Describe your process for substantiating parental complaints concerning the health and safety of children in the care of legal nonlicensed providers.

   A licensing visit would be made and if the situation warrants, a referral would be made to child protection.

2. How do you:
   a. Maintain these records of substantiated complaints, and
   b. Make this information available to the public when requested?

   Minnesota Rules, part 3400.0140, subpart 6 | **Minnesota Statutes, chapter 13**

   A record is kept within the agency and the agency follows DHS procedures for keeping records of complaints. The agency also follows data privacy laws with regard to information that is confidential, private or public.

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 an individual child with special needs

Rates paid for the care of children with special needs are allowed to exceed standard maximum rates. Requests for individual special needs rates are submitted by the agency and approved by DHS. Refer to 9.54 of the CCAP Policy Manual for more information about the special needs rate approval process. When an individual special needs rate is approved, it is considered an amendment to the County and Tribal Child Care Plan. You are no longer being asked to submit a list of special needs rates for individual children with this plan because DHS has this information.

B. 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 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 with the identified facilities, submit the contract 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.

C. 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. Provisional payment of legal nonlicensed providers

Do you issue provisional authorization and payment to legal nonlicensed providers during the time necessary to receive and review the results of the statutorily required criminal investigation and determine whether to give final approval to the provider?

Minnesota Statute, section 119B.125, subdivision 5

Minnesota Rules, part 3400.0110, subpart 2a

○ Yes ◉ No

C. 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.

County error, provider hospitalization for longer than 15 days, or provide suffering a catastrophic event such as fire or flood would be examples of "good cause."

2. Identify any circumstances when a provider signature is not needed on a billing form.

Signatures are required.

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

Identify any circumstances when a parent signature is not needed on a billing form.

We generally require a client signature. However, in cases when the provider is unable to get the client signature due to client moving, etc., child care assistance case worker signs off on the voucher if they feel a good faith effort was made by the provider to obtain the signature.

If your agency is using MEC² PRO, explain how this requirement is met with the use of electronic billing.

Explain how you monitor the signature requirement for billing forms submitted through MEC² PRO.

D. Underpayments

If you determine that you have underpaid according to Child Care Assistance Program policies, do you make corrective payments? ◉ Yes ○ No

If yes, describe what circumstances apply to making corrective payments. You may apply criteria such as a dollar amount, or how far back the situation occurred to limit underpayments to some situations.

No specific limited circumstances.

E. Provider rates

Does your county enter provider rates on MEC²? ◉ Yes ○ No

F. Absent day policy

The Child Care Assistance Program limits the number of absent days for which licensed child care providers or license-exempt centers may be paid. Payment for absent days may exceed limits upon request of the program and approval of the county, if at least one parent in the child's family:

Minnesota Statute, section 119B.13, subdivision 7

1. Is under the age of 21;
2. Does not have a high school or general equivalency diploma; and
3. 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 approved child care providers that meet these requirements? ○ Yes ◉ No

VIII. Program integrity

A. One of the most successful tools in attaining and maintaining high payment accuracy is a case management review system. Case management reviews can help to determine root cause(s) of errors and therefore identify specific areas needing corrective action, such as policy clarification, refresher training, changes in office procedures, improved case record documentation, etc.

There are a number of different approaches to case management reviews. For example a full case review would encompass all aspects of a family's CCAP case information and/or a child care provider's information. A targeted review is focused on specific elements within a case, a specific policy or error prone areas.

1. Do you conduct case management reviews of CCAP? ○ Yes ◉ No
2. Do you conduct case management reviews of CCAP child care providers? ○ Yes ◉ No

IX. Other responsibilities

A. Identify 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

No other policies are added.

B. All agency developed forms used for CCAP must reflect current policy and be approved by DHS. Do you use agency developed forms and written documents? ○ Yes ◉ No

X. County and tribal assurances

By checking the designated boxes below in items A and B, the agency assures compliance with applicable consumer and provider education requirements. It is not necessary to attach copies of this material to this plan.

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

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. Minnesota Rules, part 3400.0140, subpart 5.

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; and
- Referral to Child Care Aware

☒ **County or Tribe assures compliance by use of DHS-5192A** (optional to send with or without additional materials)

OR

☐ **County or Tribe assures compliance by sending other materials that meet these requirements**