



Administration of the Child Care Assistance Program

2016-2017 Le Sueur County and Tribal Child Care Plan

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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



Administration of the Child Care Assistance Program

I. Child Care Assistance Program contacts

A. County or tribal agency

COUNTY OR TRIBE NAME Le Sueur	GENERAL PHONE NUMBER 507-357-8288	EXTENSION	GENERAL FAX NUMBER 507-357-6122
AGENCY'S FULL NAME Le Sueur County Department of Human Services		CCAP INTAKE PHONE NUMBER 507-357-8288	EXTENSION
MAIN OFFICE STREET ADDRESS 88 bSouth Park Avenue	CITY LeCenter	ZIP CODE 56057-1646	
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.

<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Linda	LAST NAME Fischenich			
TITLE Social Services Supervisor		PHONE NUMBER 507-357-8237	EXTENSION	FAX NUMBER 507-357-6122	
EMAIL ADDRESS lfischenich@co.le-sueur.mn.us		SIR EMAIL ADDRESS X140531@CTY.DHS.STATE.MN.US			
ADDRESS 88 South Park Avenue		CITY Le Center		ZIP CODE 56057-1646	

2. County or tribal client access contact

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

<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Tricia	LAST NAME Krueger			
TITLE Case Aide		PHONE NUMBER 507-357-8217	EXTENSION	FAX NUMBER 507-357-6122	
EMAIL ADDRESS tkrueger@co.le-sueur.mn.us		SIR EMAIL ADDRESS X140530@CTY>DHS>STATE>MN>US			
ADDRESS 88 South Park Avenue		CITY LeCenter		ZIP CODE 56057-1646	

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.

<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.		FIRST NAME Tricia	LAST NAME Krueger		
TITLE Case Aide		PHONE NUMBER 507-357-8217	EXTENSION	FAX NUMBER 507-357-8217	
EMAIL ADDRESS tkrueger@co.le-sueur.mn.us		SIR EMAIL ADDRESS X140530@CTY.DHS.STATE.MN.US			
ADDRESS 88 South Park Avenue		CITY LeCenter		ZIP CODE 56057-1646	

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, 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

Our financial workers and employment counselors hand out information during interviews and orientation. The child care assistance worker also does presentations at job club through our employment counselors. We also utilize our providers to mail information to that can be given to participants. Posters and pamphlets are put out and hung up in the courthouse, local stores and laundromats. We are also starting to contact individual companies to make sure their employees are made aware of the program.

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)

Our children's service unit works very closely with schools and other community agencies and organizations so; we work closely with this units staff to get the word out. We also meet twice a month with our Community Action Council who administers job counseling, job hub, Head Start, ad heating assistance services.

- 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)

We put our plan out on the county web site. The public is encouraged to submit feedback. They are also made aware that they can get a copy of the plan. Public comments are taken into consideration and if need be the county would make amendments to the plan.

- D.** Do you post your approved county/tribal plan on your website? Yes No

IF YES, GIVE LOCATION AS A WEBLINK

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.

All students are taking classes in order to receive their high school diploma or GED through a public or private high school or from a program administered through the Minnesota Department of Education will be approved as an acceptable course of study. The child care assistance worker will review the course outline and class schedule. A copy of the clients grades must be submitted to the child care assistance worker. The participant also goes over their plan with the child care assistance worker.

- 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)

The state department of Education does have standards in place for determining the best course of action/study to obtain a high school diploma or GED. We do have students that use on line schooling and it works really well for some participants. To reiterate our child care assistance worker does maintain contact with the student to make sure they are following their course of study and that their grades are good. We want to empower them to be able to move out into the working world and become self sufficient.

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

If the child care assistance worker receives information that would indicate that the student is not attending classes or participating in the activities to receive their high school diploma or GED.

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.

Students can participate in classes through Adult Basic Education both on site and on line that gives class approval. Students who participate in these activities will be required to provide the child care assistance worker with verification of courses taken that will include the days and times of each course with verification of the length of each course taken. They will need to sign an education plan for this.

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

The child care assistance worker will look at program accreditation, on line courses and other reasonable courses of

study such as the ABE. The Adult Basic Education does have eligibility requirements in place and it is monitored by the Minnesota Department of Education. Also the ABE includes English as a second language and learning goals.

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

If the child care assistance worker receives information that the student is not attending classes or activities to obtain their degree

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.

The child care assistance worker will review the course outline, class schedule. The participant must be enrolled in a degree or certified program that will lead to employment. It must be realistic to the job market as it is now. A copy of the clients grads must be submitted to the child care assistance worker. Approval is based on availability of jobs, the willingness of the participant to relocate for employment, and the course of study must lead directly down the path to secure a job/employment. The participant will go over their plan with the child care worker, the plan will show their course of study, what their class schedule is and what the potential income would be and will it support their family. We also track the availability of jobs in our area, the schools usually provide statics of job need for each career area they offer as well as what the yearly salary wold be. We are able to locate that information through contact with the school, sometimes through their websites or school booklets that list career areas. We check to see if the wage they may be able to earn at or greater then 200% of Federal Poverty Guidelines. The use of internet also comes into play and allows us to locate the wages and need for jobs in different careers and locations(communities etc.).

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

Our county expects the education plan will lead to full time employment for the client. Again we want the participant to be self sufficient and empowered.

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

If the student would fall below good academic standing as the post-secondary school would determine or if the student changes their course of study without reporting the change and getting a new employability plan approved.

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.

The family is sent a letter from the child care worker requesting updated information, the letter has a deadline when the information needs to be returned by. The letter informs the family that if they do not respond their name will be removed from the waiting list.

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

They will then be sent a notice that their name is going to be removed and they have 15 more days to respond.

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

Their name is taken off the list as they were informed in the original letter and the notice.

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

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.

Minnesota Rules, part 3400.0040, subpart 17

Minnesota Rules, part 3400.0060, subpart 6

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
0

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

How is this verified and what action is taken if there is a discrepancy between the hours authorized and the actual hours verified for this activity? Note: A reduction of authorized hours requires a 15 day notice. If you do reconcile discrepancies, we recommend that you do not charge the family with an overpayment when the verification provided shows that less hours of job search were completed than what was authorized, as job search hours are limited to 240 hours per calendar year. If you charge an overpayment, the hours charged as an overpayment are not counted towards the 240 hours allowed for job search.

We require that clients submit activity logs weekly to remain eligible for child care assistance. The logs are submitted in a timely manner so; that the worker is paying for accurate hours of job search. Therefore there would not be an overpayment assessed.

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.)

Communication is a two way street between the child care worker and the job counselor done through emails, phone calls, employment plans, They also meet on a regular basis.

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.

If checked, describe which rules and your agency's procedures for enforcing these policies, including how you will determine violations are corrected.

It may be that a provider has moved. So, provider changes

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

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,
section 119B.125,
subdivision 2

Minnesota
Statutes,
chapter 245C

- 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

How much do you charge for the required background check? Fees for background checks 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

If yes with conditions, describe the conditions below.

The information requested is used to determine if the legal non licensed provider and their household members meets all of Le Sueur County's criteria for being approved as one of our non licensed providers.

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.

Forward complaints to supervisor/child protection unit to determine if there is a health or safety concern that needs to be investigated. If complaint warrants investigation, the investigation process would conclude if it is substantiated or not.

2. How do you:

- Maintain these records of substantiated complaints, and
- Make this information available to the public when requested?

Minnesota Rules, part
3400.0140, subpart 6

Minnesota Statutes,
chapter 13

The records are maintained within our computer system SSIS. When a request comes in a social service agency record check will be done by our county personnel and disclosure of appropriate data will be given following statute governing data privacy.

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?

Yes No

Minnesota Statute, section
119B.125, subdivision 5

Minnesota Rules, part
3400.0110, subpart 2a

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.

Family emergency, hospitalization for illness, a death of immediate family member, environmental hazards (fire, tornado) and agency error.

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

Provider signature is required on all billing forms.

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.

If the parent has already left the provider, the parent is no longer available to sign the voucher.

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

N/A We only have a couple of providers interested at this time.

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

N/A

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.

Agency error

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

If yes, describe the process, including how cases are selected, which staff complete the reviews, what forms are used and how errors are resolved.

I randomly select a few files from the program area. I go through the file and check on paperwork done and correspondence using DHS 5312D. If I find any errors I bring them to the attention of the worker and the worker makes the corrections.

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

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