

# Administration of the Child Care Assistance Program

## 2018-2019 Sibley 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 Sibley	GENERAL PHONE NUMBER 507-237-4000	EXTENSION	GENERAL FAX NUMBER 507-237-4031
AGENCY'S FULL NAME Sibley County Public Health and Human Services		CCAP INTAKE PHONE NUMBER	EXTENSION
MAIN OFFICE STREET ADDRESS 111 8th Street	CITY Gaylord	ZIP CODE 55334	
MAIN OFFICE MAILING ADDRESS (if different) 111 8th Street P O Box 237	CITY Gaylord	ZIP CODE 55334	

### 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 checked="" type="radio"/> Mrs. <input type="radio"/> Ms.	FIRST NAME Carol	LAST NAME Larson			
TITLE Financial Supervisor		PHONE NUMBER 507-237-4024	EXTENSION	FAX NUMBER 507-237-4031	
EMAIL ADDRESS Carol@co.sibley.mn.us		SIR EMAIL ADDRESS X172504@CTY.DHS.STATE.MN.US			
ADDRESS 111 8th Street		CITY Gaylord		ZIP CODE 55334	

#### 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 Sarah	LAST NAME Kolden			
TITLE Eligibility Worker		PHONE NUMBER 507-237-4021	EXTENSION	FAX NUMBER 507-237-4031	
EMAIL ADDRESS SarahK@co.sibley.mn.us		SIR EMAIL ADDRESS X172566@CTY.DHS.STATE.MN.US			
ADDRESS 111 8th Street		CITY Gaylord		ZIP CODE 55334	

<input checked="" type="radio"/> Mr. <input type="radio"/> Mrs. <input type="radio"/> Ms.	FIRST NAME John	LAST NAME Stepien		
TITLE Eligibility Worker		PHONE NUMBER 507-237-4043	EXTENSION	FAX NUMBER 507-237-4031
EMAIL ADDRESS JohnS@co.sibley.mn.us		SIR EMAIL ADDRESS X172577@CTY.DHS.STATE.MN.US		
ADDRESS 111 8th Street		CITY Gaylord		ZIP CODE 55334

### 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 Sarah	LAST NAME Kolden		
TITLE Eligibility Worker		PHONE NUMBER 507-237-4021	EXTENSION	FAX NUMBER 507-237-4031
EMAIL ADDRESS SarahK@co.sibley.mn.us		SIR EMAIL ADDRESS X172566@CTY.DHS.STATE.MN.US		
ADDRESS 111 8th Street		CITY Gaylord		ZIP CODE 55334

### 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 Sonya	LAST NAME Meyer		
TITLE Account Tech		PHONE NUMBER 507-237-4015	EXTENSION	FAX NUMBER 507-237-4031
EMAIL ADDRESS SonyaM@co.sibley.mn.us		SIR EMAIL ADDRESS X172212@CTY.DHS.STATE.MN.US		
ADDRESS 111 8th Street		CITY Gaylord		ZIP CODE 55334

### 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 Sonya	LAST NAME Meyer		
TITLE Account Tech		PHONE NUMBER 507-237-4015	EXTENSION	FAX NUMBER 507-237-4031
EMAIL ADDRESS SonyaM@co.sibley.mn.us		SIR EMAIL ADDRESS X172212@CTY.DHS.STATE.MN.US		
ADDRESS 111 8th Street		CITY Gaylord		ZIP CODE 55334

## 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](#))

At a minimum, county agency staff are informed of the program on an annual basis, which makes them aware of the program when they are in contact with perspective applicants. They also make referrals to the program throughout the year. The "Do you need help paying for child care (DHS-3551) booklet is given to clients when they are inquiring or applying for child care assistance or other programs is applicable. Information sheets are also located in the lobby of the Health & Human Services Department and on the county web site. Licensed child care providers are given program information at the initial time of licensing. Minnesota Valley Action Council provides information to individuals they work with regarding CCAP. Child Care Resource and Referral also provides information about this program to local individuals and providers.

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

This agency works closely with other agencies in order to provide quality services that are seamless to the families. We have a Family and Children's Mental Health Collaborative, Help Me Grow Committee and Interagency Referral Team. We also work closely with Minnesota Valley Action Council, Head Start and Early Childhood Screening.

**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.

Public Health & Human Services is a represented team member to the above groups. We are willing to be available for any community based programs to provide information or represent this program.

**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.

Draft plan will be available on our county web site for comments, [www.co.sibley.mn.us](http://www.co.sibley.mn.us) or will be available at our

Public Health & Human Service office upon request.

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

Two 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.

An applicant will need to complete the Education Plan and provide grades to the county after each quarter/semester so that the Education Plan Tracking form can be completed by the worker. Failure to do so would result in termination of the plan. If the student is not meeting the institution's attendance requirements and they contact us, agency would contact applicant to notify them that the education plan will be terminated.

#### 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.

An applicant will need to complete the Education Plan and provide grades to the county after each quarter/semester so that the Education Plan Tracking form can be completed by the worker. Failure to do so would result in termination of the plan. If student is not meeting the educational institution or employers attendance requirements and they contact us, agency would contact applicant to notify them that the education plan will be terminated.

#### 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.

Applicants will meet with the child care worker to discuss and develop an acceptable course of study that will meet the client's needs for self supporting employment. The child care worker will complete an assessment with the applicant to determine the applicant's previous training/education levels. The applicant will need to present their plan which identifies their course of study, class schedules and potential income that indicates it will support their family. These plans will be reviewed by the county agency and approved by child care worker and Supervisor.

**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).

An acceptable course of study for a student eligible under the Basic Sliding Fee Program is an education or training program approved by Sibley County that will reasonably lead to full-time employment with earnings which will lead to self sufficiency.

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

Sibley County requires that the student maintains a good academic standing as determined by the education institution per MN Rules 3400.0040, Subp.13. If it is determined that a student is no longer in good academic

standing according to the educational/training institution, the county shall notify the student and discontinue child care assistance according to part 3400.0185. Verification of grades will be provided by the student to the county after each quarter/semester so that the Education Plan Tracking form can be completed by the worker.

#### 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 this time Sibley County does not have a waiting list, but if we do and families have been on the Basic Sliding Fee Waiting List they are sent a letter giving them a time line to respond and provide current information. The letter notifies them that failure to respond with the requested information within the time lines given will result in removal of their name from the waiting list.

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

No they are not, the letter states failure to provide information will result in removing your name from the list.

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

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

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

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

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

Minnesota Rules, part  
3400.0040, subpart 17

Minnesota Rules, part  
3400.0060, subpart 6

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

## C. Child care for job search activities

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

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

Minnesota Rules, part  
3400.0040, subpart 15a

CCAP Policy Manual,  
Chapter 9.18

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

## D. Child care for school release days

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

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

CCAP Policy Manual,  
Chapter 9.1.3

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

Billing worker will process the case and if there is a shortage of authorized hours, paper billing is given to Child Care worker to audit and add hours for non-school days on the bill and on the billing window for that particular billing period. If provider is a MEC2 Pro user billing worker will process the case and if there is a shortage of authorized hours will e-mail Child Care worker and process same steps as paper billing.

## E. Child care for families with flexible schedules

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

CCAP Policy Manual,  
Chapter 9.1.6

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

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

Families are directed to review billing forms and if more hours are needed due to flexible work schedule contact the child care worker to make the adjustment and provide verification. Additional hours will be added if criteria is met.

## F. Authorizing care for clients with Employment Plans

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

### 1. Schedules and Authorizations

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

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



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

Worker, Job counselors and Supervisor meet face-to-face monthly. Job Counselor also completes DHS-7054 and send to workers. Between the monthly meetings, communications continues through status update forms, phone calls, emails or fax.

## 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

## 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:

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

If a complaint is substantiated under the county's child protection agency, the county must keep a record of the substantiated complaint as provided in Minnesota Statutes, section 626.556. If a complaint is substantiated through the county's public health agency, local law enforcement or other agencies with jurisdiction to investigate complaints relating to the health and safety of a child, the county must keep a record of the substantiated complaint for three years. Upon request, information governing substantiated complaints shall be released to the public as authorized under Minnesota Statutes, chapter 13. When county's receive notice of a substantiated complaint, the county shall not make subsequent payments to that provider from the child care fund for child care services provided by that provider unless the conditions underlying the substantiated complaint have been corrected.

## 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.

A provider may claim good cause if the reason the bill was not submitted within the 60 day time frame due to agency error.

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

Signature is not required when billing in MEC2 Pro. Unsigned vouchers from providers not using MEC2 Pro will be accepted by the agency in a case where there is a death or serious illness of the provider.

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?

If a parent has moved with no forwarding address, left the area, or is unable to sign the voucher, the provider must show good cause as to why they could not obtain the parental 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?

Provider is required to retain attendance records and these forms must be presented to the county upon request to verify that the records match what was submitted to MEC2 Pro.

## 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.

We would go back one year to correct all underpayments that we become aware of that are the result of worker error (NOT unreported information). This unreported information includes information that was reported to the eligibility worker, but was not the child care worker.

## D. Provider rates

Does your agency enter provider rates on MEC?  Yes  No

## E. Absent day policy

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

**Minnesota Statute,  
section 119B.13,  
subdivision 7**

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

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

## VIII. Program integrity

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

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

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.

Cases are reviewed based upon a community complaint, appeal issue, quality control or fraud referral. the case is thoroughly reviewed by case worker and/or supervisor. Errors are reviewed with worker and resolved by worker. Sibley County's accounting department is also involved in several aspects of the CCAP billing process. This provides a 3rd party review of the CCAP provider payments.

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.

Cases are reviewed based upon a community complaint, appeal issue, quality control or fraud referral. the case is thoroughly reviewed by case worker and/or supervisor. Errors are reviewed with worker and resolved by worker. Sibley County's accounting department is also involved in several aspects of the CCAP billing process. This provides

a 3rd party review of the CCAP provider payments.

## 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](#))

If there is a shared custody/visitation schedule, before care can be authorized, the Child Care Assistance Shared Care/Custody/Visitation Schedule needs to be completed.

### 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
Sibley County CCAP Work Schedule	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS approved <input type="checkbox"/> Needs DHS approval AND <input checked="" type="checkbox"/> Form is submitted with plan
Sibley County Basic Sliding Fee Education & Training Plan	<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
Sibley County CCAP Care/Custody/Visitation Agreement	<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
Sibley County Waiting List Update form	<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
Sibley County Waiting List form	<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
Sibley County Provider Calendar	<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
Welcome to MEC2 Pro (emailed)	<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

Name of Agency Developed Form	Form reflects current CCAP policy	Status of current form
Welcome to MEC2 Pro (mailed)	<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
MEC2 Pro Temp Password Notification	<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

## 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**