

Administration of the Child Care Assistance Program

2020-2021 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, 2020.

Minnesota Statute, section 119B.08, subdivision 3

Steps to complete the plan process:

Step One – Review the plan

Review this plan to make sure you understand what's being asked. 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 may have been re-ordered, changed, or removed.

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 and income maintenance and employment services staff.

Step Four – Share the draft plan

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

Step Five – Submit the plan by the deadline

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

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

Amendments to plans

A county or tribe may amend their Child Care Fund Plan at any time, but the commissioner must approve the amendment before it becomes effective. If approved by the commissioner, the amendment is effective on the date requested by the agency unless a different effective date is set by the commissioner. Plan amendments must be approved or denied by the commissioner within 60 days after receipt of the amendment request. The department reserves the right to direct a county or tribe to amend its child care fund plan if the plan is no longer in compliance with Minnesota Statutes, Minnesota Rules, or federal law.

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 **Friday, August 30, 2019** 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 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 PO 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 the Child Care Assistance Program? This contact will receive policy bulletins, memos, and other high level communications. You may have more than one administrative contact.

<input checked="" type="radio"/> Mr. <input type="radio"/> Mrs. <input type="radio"/> Ms.	FIRST NAME John	LAST NAME Stepien			
TITLE Financial Assistance Supervisor		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	

2. County or tribal client access contact

Who is your lead person/s who has contact with families receiving CCAP? You may have more than one client access contact.

<input type="radio"/> Mr. <input checked="" type="radio"/> Mrs. <input type="radio"/> Ms.		FIRST NAME Jessica	LAST NAME Beebe		
TITLE Eligibility Worker		PHONE NUMBER 507-237-4004	EXTENSION	FAX NUMBER 507-237-4031	
EMAIL ADDRESS JessicaBeebe@co.sibley.mn.us		SIR EMAIL ADDRESS X172305@cty.dhs.state.mn.us			
ADDRESS 111 8th Street		CITY Gaylord		ZIP CODE 55334	
<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.		FIRST NAME Stacey	LAST NAME Wamstad		
TITLE Eligibility Worker		PHONE NUMBER 507-237-4124	EXTENSION	FAX NUMBER 507-237-4031	
EMAIL ADDRESS StaceyW@co.sibley.mn.us		SIR EMAIL ADDRESS X172011@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 checked="" type="radio"/> Mrs. <input type="radio"/> Ms.		FIRST NAME Jessica	LAST NAME Beebe		
TITLE Eligibility Worker		PHONE NUMBER 507-237-4004	EXTENSION	FAX NUMBER 507-237-4031	
EMAIL ADDRESS JessicaBeebe@co.sibley.mn.us		SIR EMAIL ADDRESS X172305@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? Only identify one provider billing contact.

<input type="radio"/> Mr. <input checked="" type="radio"/> Mrs. <input 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?
Only identify one provider registration contact.

<input type="radio"/> Mr. <input checked="" type="radio"/> Mrs. <input 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

6. LNL provider monitoring contact

Who is the lead contact person in the agency who is able to answer questions about LNL annual monitoring visits?
Only provide one monitoring contact.

<input checked="" type="radio"/> Mr. <input type="radio"/> Mrs. <input type="radio"/> Ms.	FIRST NAME John	LAST NAME Stepien		
TITLE Financial Assistance Supervisor		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

D. Subcontracted services

Counties and tribes may contract with an agency to administer all or part of their Child Care Assistance Program.

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

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.

II. Collaboration and outreach

A. How do you share information about the Child Care Assistance Program 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 to maximize community resources for families with young children. 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. ([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 works closely with other agencies in order to provide quality services that are seamless to the families. Public Health and Human Services has a team member in our Help Me Grow Committee and Interagency Referral Team. There is also a Family and Children's Mental Health Collaborative that focuses on child and family issues. The partners in each collaborative includes staff from Public Health & Human Services, the local school districts including the Special Ed Department. Other members include Extension, Head Start, parent representatives, local mental health representatives, county commissioners and the Department of Corrections. 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 \(2\)](#)).

1. 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 or will be available at our Public Health & Human Service office upon request.

2. When was your draft plan available for public review?

The draft plan was available for public review from August 16th, 2019 to August 30th, 2019 on our County website, and in our office upon request.

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 outside an Employment Plan

Prior to completing this section, please review [Minnesota Rules, part 3400.0040](#) and [Minnesota Statutes 119B.10 Subdivision 3](#) 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

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

3. Post-secondary programs

3a. Describe your criteria and procedures for approving a post-secondary program outside an Employment Plan that will lead to employment.

Applicants and child care worker will 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 criteria (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.

4. Changes to education plans outside an Employment Plan

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 that their name will be removed from the waiting list if the application is not received by the deadline.

3. 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 school release days

1. How do case workers authorize care for school release days in your agency?

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.

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

Comments are left in the comments section of the service Authorization notifying the family and the provider that school release days need to be noted on the billing form when submitted. A case note is also entered on the case to include the maximum number hours that can be approved for any biweekly period. The billing worker will process the billing forms and if there is a shortage of authorized hours due to school release days, the paper billing is given to Child Care worker to audit and add hours for non-school days for that particular billing period as appropriate. The change in authorized hours are case noted and processed by the billing worker. If the provider is a MEC2 Pro user, billing worker will process the case and if there is a shortage of authorized hours, will e-mail the Child Care worker and process same steps as paper billing.

D. Child care for families with flexible schedules

1. How do case 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.

2. 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 a flexible work schedule, to contact the child care worker to make the adjustment and provide verification. Providers are directed to leave comments on the billing forms if requesting more hours than what is authorized. Additional hours will be added if criteria is met. Authorized hours are case noted and added to the approval notice and Service Authorizations to providers. Communications will also be by email to and from billing worker and billing worker also has access to case notes.

E. Authorizing care for clients with Employment Plans

Job counselors and CCAP workers must communicate child care needs for clients with Employment Plans. Guidance is found in [CCAP Policy Manual, Chapter 9.1.5](#).

1. 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.)?

CCAP workers, Job counselors and Supervisor meet face-to-face monthly. Job Counselors also complete the DHS-7054 and send to workers when appropriate. Between the monthly meetings, communication 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

An agency may deny authorization as a child care provider to any applicant or rescind authorization of any provider when the agency knows or has reason to believe that the provider is unsafe or that the circumstances of the chosen child care arrangement are unsafe. See [Minnesota Statute, section 119B.125, subdivision 4](#). When a provider's authorization is rescinded due to unsafe care, the agency must close the provider's registration with a 15 calendar day notice. If there is also an imminent risk of harm to the health, safety or rights of the child(ren) in care with a legal nonlicensed provider, child care authorization must be terminated immediately.

The department has identified that when substantiated maltreatment occurred in a legal nonlicensed care setting related to an incident where a child died or was seriously injured, the child care setting is considered unsafe care. A serious injury is one that requires treatment by a physician.

What other conditions of unsafe care does your agency apply to legal nonlicensed (LNL) providers or legal nonlicensed care arrangements **beyond those contained in Minnesota Statute, sections 245C.14 or 245C.15**?

Sibley county does not apply any other conditions other than what is required by DHS to establish a safe environment for LNL providers, including background studies, initial and annual inspections, and records of applicable trainings to be completed by the provider. Failure to meet any of these standards would meet the conditions of unsafe care.

NOTE: The Consolidated Appropriations Act of 2018 (Public Law 115-141) prohibits states from expending federal CCDF funds on providers where a serious injury or death occurred due to substantiated health or safety violations.

B. Imminent risk

Some unsafe care conditions present an imminent risk for children in care. When there is an imminent risk of harm to the health, safety or rights of a child in care with a legal nonlicensed (LNL) provider, child care authorization must be terminated immediately. Agencies do not need to give the provider at least 15 calendar days notice. See [Minnesota Rules 3400.0035, subpart 5, clause E](#).

What conditions does your agency recognize as presenting an imminent risk to the health, safety or rights of a child in care with a legal nonlicensed provider?

Any substantiated report to Sibley county, either from a family, provider, or law enforcement that a child was subject to abuse or maltreatment would be considered an imminent risk to the health, safety or rights of a child in care with a legal nonlicensed provider.

C. Annual monitoring

Any legal nonlicensed (LNL) provider with an open Service Authorization for a child who is not related to them must have an annual monitoring visit. Related means the provider is the child's sibling, grandparent, great-grandparent, aunt, or uncle of the child, based on blood relationship, marriage or court decree.

1. How does your agency track legal nonlicensed providers who are registered with your agency and who have an open Service Authorization for unrelated children?

The Financial Assistance Supervisor will manually track which LNL provider have open Service Authorization and when the last annual visit took place. The CCAP worker will leave an alert for 11 months following any visit to conduct a follow up visit within the 12 month time frame. The BOBI report PV101 is also used to identify all provider renewals.

2. What are your agency's internal processes and procedures for completing monitoring visits?

Child Care workers will work with their supervisor and the counties Child Care licensor to schedule LNL monitoring visits. Visits will be logged by both the Licensor and the Financial assistance supervisor. Visits will be conducted by both the CCAP worker and the licensor for each visit.

3. If a provider does not show compliance with an annual monitoring visit, under what conditions can they receive CCAP payments in the future?

- Only if the provider is licensed
- The provider must show compliance with another monitoring visit

If the agency performs another monitoring visit, what conditions are placed on the visit? For example, is there a time limit that the provider must wait before the visit can be performed? Is there a limit on the number of re-inspections?

The provider will be given the opportunity to provide written documentation that demonstrates all of the out-of-compliance factor have been corrected. If at least one out-of-compliance factor cannot be demonstrated the county will close the provider's registration with a 15-day notice. The provider must show full compliance with a monitoring visit before the provider can be re-registered.

- Other

D. Complaints and incidents

1. Records of substantiated parental complaints

Within 24 hours of receiving a complaint concerning the health or safety of children under the care of a legal nonlicensed (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 jurisdiction to investigate complaints. Information regarding substantiated complaints must be released following applicable data privacy laws. See [Minnesota Statutes Chapter 13](#). When a report is substantiated, see Minnesota Rules, part 3400.0140, subpart 6, for record retention and provider payment policies.

When complaints are substantiated how do you:

1a. Maintain these records?

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. Records are maintained in our social service SSIS system or public health PHD system and in the CCAP Provider case files.

1b. Make this information available to the public when requested?

Complaints can be put to report form for public availability upon request.

2. Aggregate reporting of incidents

At least quarterly, agencies must report to the Minnesota Department of Human Services the aggregate number of deaths, serious injuries, and substantiated maltreatment incidents for children under the care of legal nonlicensed (LNL) providers.

How will you record and maintain accurate counts of incidents that occur in legal nonlicensed settings registered by your agency?

Records are maintained in our social service SSIS system or public health PHD system and in the CCAP Provider case files. Sibley County does not currently have an LNL providers registered in the county. If a LNL provider is approved and a complaint is received, a separate file maintained by the Financial Assistance Supervisor will be established to report the accurate number of incidents each quarter.

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. At-risk means environmental or familial factors exist that could create barriers to a child's optimal achievement. This could include, but is not limited to: a federal or state disaster, limited English proficiency in a family, history of abuse or neglect, a determination that the children are at risk of abuse or neglect, family violence, homelessness, age of the mother, level of maternal education, mental illness, development disability, parental chemical dependency or history of other substance use.

1. Do you pay a special needs rate for at-risk populations? Yes No

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. Do you pay a special needs rate for care of sick children?

Yes No

VII. Payment policies

A. Provider registration renewal

How often do you renew a provider's registration?

Yearly Every two years Other

Minnesota Statute, section 119B.125, subdivision 1

B. 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 and the second provider that is caring for the child?

Yes No

Minnesota Statutes, section 3400.0110, subpart 8

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.

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 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, provider significant crisis, or provider medical reasons. Other Reasons will be determined by the IM Supervisor and Billing worker on a case by case basis.

2. Does your agency have any providers using MEC² PRO? Yes No

2a. DHS states CCAP agencies can decide which providers are granted access to submit bills using MEC² PRO. How do you decide which providers are granted access?

Sibley County will grant access to any provider who requests it, unless previously revoked or denied.

2b. When would you deny or revoke MEC² PRO access to any of these providers?

Providers will have their MEC² Pro access revoked if Sibley County believes they are intentionally miss-reporting hours of care on their billing forms, or have committed and intentional program violation, or have been denied or revoked by another agency for similar reasons. MEC² Pro access may be revoked if a provider voluntarily

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

Providers will electronically sign the MEC2 Pro billing forms. 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.

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

4a. 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. Families are not required to sign the billing forms submitted through MEC2 Pro.

D. 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.

E. Provider rates

Does your agency enter provider rates on MEC2? Yes No

F. Absent day policy

The Child Care Assistance Program limits the number of paid absent days for licensed child care providers and certified 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 (DHS-5312D is available, if a different form is used, please list form(s) in Section IX.B. Agency developed forms and submit with plan),
- 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 (DHS-5312E is available, if a different form is used, please list form(s) in Section IX.B. Agency developed forms and submit with plan),
- 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.
- Review forms, notices and documents at least every two years to ensure they reflect current CCAP policy and laws.

Forms inventory for your agency

Use this table to list all agency developed forms, notices, and documents your agency uses to administer child care assistance.

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

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 previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
Sibley County Basic Sliding Fee Education & Training Plan	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
Sibley County CCAP Care/ Custody/Visitation Agreement	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
Sibley County Waiting List Update Form	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
Sibley County Waiting List Form	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
Sibley County Provider Calendar	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
Welcome To MEC2 Pro (emailed)	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
Welcome to MEC2 Pro (mailed)	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
MEC2 Pro Temp Password Notification	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
Provider Letter for MEC2 Pro	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS previously approved - no changes <input checked="" type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
School Schedule Request	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS previously approved - no changes <input checked="" type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New form - needs DHS approval
CCAP Summer Memo	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input checked="" type="checkbox"/> New form - needs DHS approval

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
- The importance of prompt reporting of a move to another country to avoid overpayments and to increase the likelihood of continuing benefits

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 required by state and federal laws
- 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

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

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

[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 required by federal law
- 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

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

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

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

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

County or tribe assures compliance

D. Child Care Assistance Program (CCAP) Funding

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

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

County or tribe assures compliance

E. Child Care Assistance Program (CCAP) Reporting

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

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

County or tribe assures compliance

F. Limited English Proficiency Plan

The county or tribe has completed a Limited English Proficiency Plan, describing how it serves families with limited English Proficiency

County or tribe assures compliance