

## Public Notice

Aitkin County Health & Human Services is developing the 2020-2021 Biennial Child Care Assistance Program (CCAP) Plan.

Minnesota Statute, section 119B.08, subdivision 3 requires that counties and tribes must submit a biennial Child Care Assistance Program Plan to the Commissioner. The program rules and laws allow counties to establish additional local policies and procedures. These local policies and procedures, when included in the plan and approved by the Commissioner, are considered county/tribal policy and are used to support agency decisions while administering programs. The public must be given an opportunity for review and comment. The methods by which the Aitkin County Health & Human Services Department will provide an opportunity for public participation are: the Aitkin County Website: [www.co.aitkin.mn.us](http://www.co.aitkin.mn.us), obtaining a copy of the plan at the Aitkin County Health & Human Services Front Desk, or by calling 218-927-7200 and one can be mailed to you.

The Biennial Child Care Assistance Plan is to be submitted to the Minnesota Department of Human Services and is effective January 1, 2020.

Citizen participation is invited in the development of the Biennial Child Care Assistance Plan. The review and comment period ends August 20, 2019.

Questions and comments concerning the Biennial Child Care Assistance Program must be submitted no later than August 20, 2019, in writing to:

Aitkin County Health & Human Services  
204 1<sup>st</sup> St NW  
Aitkin, MN 56431-1291

# Administration of the Child Care Assistance Program

## 2020-2021 Aitkin 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 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. 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](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 Aitkin	GENERAL PHONE NUMBER 218-927-7200	EXTENSION	GENERAL FAX NUMBER 218-927-7293
AGENCY'S FULL NAME Aitkin County Health & Human Services		CCAP INTAKE PHONE NUMBER 218-927-7200	EXTENSION
MAIN OFFICE STREET ADDRESS 204 1st St NW	CITY Aitkin	ZIP CODE 56431	
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

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 type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Jessica	LAST NAME Goble			
TITLE Financial Assistance Supervisor		PHONE NUMBER 218-927-7218	EXTENSION	FAX NUMBER 218-927-7293	
EMAIL ADDRESS jessica.goble@co.aitkin.mn.us		SIR EMAIL ADDRESS X101566@cty.dhs.state.mn.us			
ADDRESS 204 1st St NW		CITY Aitkin		ZIP CODE 56431	
<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Kaycie	LAST NAME Tohm			
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293	
EMAIL ADDRESS kaycie.tohm@co.aitkin.mn.us		SIR EMAIL ADDRESS X101308@cty.dhs.state.mn.us			
ADDRESS 204 1st St NW		CITY Aitkin		ZIP CODE 56431	

## 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 type="radio"/> Mrs. <input checked="" type="radio"/> Ms.		FIRST NAME Kaycie	LAST NAME Tohm		
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293	
EMAIL ADDRESS kaycie.tohm@co.aitkin.mn.us		SIR EMAIL ADDRESS X101308@cty.dhs.state.mn.us			
ADDRESS		CITY		ZIP CODE	
<input type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.		FIRST NAME Nancy	LAST NAME Schneider		
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293	
EMAIL ADDRESS nancy.schneider@co.aitkin.mn.us		SIR EMAIL ADDRESS X101203@cty.dhs.state.mn.us			
ADDRESS 204 1st St NW		CITY Aitkin		ZIP CODE 56431	

## 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 Kaycie	LAST NAME Tohm		
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293	
EMAIL ADDRESS kaycie.tohm@co.aitkin.mn.us		SIR EMAIL ADDRESS X101308@cty.dhs.state.mn.us			
ADDRESS 204 1st St NW		CITY Aitkin		ZIP CODE 56431	

## 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 type="radio"/> Mrs. <input checked="" type="radio"/> Ms.		FIRST NAME Sara	LAST NAME Math		
TITLE Account Technician		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293	
EMAIL ADDRESS smath@co.aitkin.mn.us		SIR EMAIL ADDRESS X101543@cty.dhs.state.mn.us			
ADDRESS 204 1st St NW		CITY Aitkin		ZIP CODE 56431	

## 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 type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Kaycie	LAST NAME Tohm		
TITLE Financial Worker		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293
EMAIL ADDRESS kaycie.tohm@co.aitkin.mn.us		SIR EMAIL ADDRESS X101308@cty.dhs.state.mn.us		
ADDRESS 204 1st St NW		CITY Aitkin		ZIP CODE 56431

## 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 type="radio"/> Mr. <input type="radio"/> Mrs. <input checked="" type="radio"/> Ms.	FIRST NAME Jessi	LAST NAME Schultz		
TITLE Social Services Supervisor		PHONE NUMBER 218-927-7200	EXTENSION	FAX NUMBER 218-927-7293
EMAIL ADDRESS jessica.schultz@co.aitkin.mn.us		SIR EMAIL ADDRESS N/A		
ADDRESS 204 1st St NW		CITY Aitkin		ZIP CODE 56431

## 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)

CCAP information packets offered at the ACHHS Office, all family cash assistance cases have CCAP information included in orientation packets, Public Health through WIC and Home Visiting Programs, our community partners such as the Career Force Center and three school districts have CCAP information available, county fair booth and an ad runs weekly in the county newspaper.

**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))

- ACHHS Public Health
- Pine Technical College for Child Care Aware & Parent Aware
- Northeast Minnesota Office of Jobs & Training
- Arrowhead Economic Opportunity Agency
- Lakes and Pines Community Action Council - Head Start
- Aitkin Public School District
- Hill City Public School District
- McGregor Public School District

**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.

For a more sparsely populated county, Aitkin County Health and Human Services communicates with many service providers starting with our own agency. These all represent opportunities for ACHHS employees to field questions and promote CCAP:

- The ACHHS Child Care Licensor includes information about CCAP in the packets that day care providers receive during the licensing and re-licensing process.
- The ACHHS Public Health Department meets with families with preschool children through the Family Home Visiting Program, WIC Program, and preschool screening process and activities. O
- ACHHS Public Health also promotes the Child and Teen Checkup program with our county residents.
- ACHHS Nurses and Social Workers have many contacts with Head Start and the three special education co-ops that serve our school districts.
- ACHHS also has a close relationship with our three public school districts, each of which provides school district residents with access to preschool programming and early childhood family education activities.

ACHHS has a strong and positive relationship with two employment service agencies, Northeast Minnesota Office of Jobs and Training and Arrowhead Economic Opportunity Agency. ACHHS Financial Workers and the employment counselors meet regularly to consult on mutual program areas and specific clients. The employment counselors are strong advocates of CCAP and how it can be used to assist families with young children move toward self-sufficiency.

Finally, ACHHS collaborates with Pine Technical College in Pine City for access to Child Care Aware and Parent Aware. Child Care Aware is a state-wide network of organizations that is available to assist families, early childhood professionals, and the community with child care information, training for providers, resources and services for parents as they look for high-quality day care, affordable day care. ACHHS contracts with Pine Technical College to bring trainings right to our building. Child Care Aware literature is available to parents who come to ACHHS for services and information, and Child Care Aware information is shared with licensed day care providers through our day care licensor.

**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.

Online at <http://www.co.aitkin.mn.us/>, can be mailed out if a phone request is made at 218-927-7200 and it can be picked up at the front desk of ACHHS.

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

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.

A post secondary student receiving CCAP BSF funds should be a student in good standing with the educational institution and be making satisfactory progress within the applicable time frame for their particular degree. Carlton County requires post secondary students to maintain at least good academic standing as determined by the educational institution, to be CCAP eligible. The student is eligible for the CCAP program for educational and training no more than the time necessary to complete the credit requirements for an associate or baccalaureate degree as determined by the educational institution.

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).

There must be a realistic education plan in place that shows the likelihood of it leading to self-sufficiency based on current demographic information regarding wage and job availability

##### 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.

Aitkin County will review the wait list monthly and families on the list for six months will be notified by letter to verify if the previous BSF request is a continual need for CCAP. If information is not returned within 15 days, families are removed 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?

Information about the family being removed from the list is covered in the initial letter.

### 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?

- 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

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

We edit the Service Authorization notices to both providers and parents as well as do case notes in MEC2 with the details of how and when we are looking at the child care hours/approvals/day care/CCAP attendance.

## 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?**

We edit the Service Authorization notices to both providers and parents as well as do case notes in MEC2 with the details of how and when we are looking at the child care hours/approvals/day care/CCAP attendance.

**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.)?**

Phone, email, fax, case notes, monthly meetings and the DHS-7054 MFIP/DWP Employment Services Child Care Request. We have a very good relationship with our Career Force Employment Counselors.

**IV. Provider compliance policies**

**A. Reasons for closing a provider's registration**

[Minnesota Statutes, section 119B.13, subdivision 6\(d\)](#) allows counties and tribes to refuse to issue a child care authorization, revoke an existing authorization for a provider, stop payment, or refuse to pay a bill under circumstances described in the six clauses below. Counties and tribes must indicate which clauses they will include in their plan, and must apply the policies consistently to providers.

CCAP Policy Manual,  
Chapter 9.3

CCAP Policy Manual,  
Chapter 14

- An agency cannot implement these policies without establishing them in their plan.
- An agency must notify their CCAP Policy Specialist at least 10 days prior to closing a provider's registration or taking any other action to enforce any of these policies, except clause 4 when notified by DHS.
- An agency that does not implement these policies may still pursue a fraud disqualification for a provider. These policies can be used in addition to, or in combination with, a fraud disqualification.

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

Which clause(s) does your agency plan to implement? Check all that apply.

- Clause 1:** A provider admits to intentionally giving the agency materially false information on the provider's billing forms.

If you checked Clause 1, your agency must also pursue, at minimum, a disqualification and establishment of an Intentional Program Violation (IPV) using the Administrative Disqualification (ADH) process described in Chapter 14 of the CCAP Policy Manual. The agency should consider pursuing a fraud determination through other means described in section 14.12.6 in the CCAP Policy Manual. There also may be overpayments charged to the provider applied to time periods when Clause 1 occurred.

When enforcing this clause, you have the option to use MEC<sup>2</sup> generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

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

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

*Note:* If your agency uses DHS optional notices, add the optional notice(s) to Section IX.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval. You must also close the provider's registration in MEC<sup>2</sup>. Contact your CCAP Policy Specialist for system instructions.

- Clause 2:** The agency finds a preponderance of evidence that the provider intentionally gave the agency materially false information on the provider's billing forms or attendance records.

If you checked Clause 2, your agency must also pursue, at minimum, a disqualification and establishment of an Intentional Program Violation (IPV) using the Administrative Disqualification (ADH) process described in Chapter 14 of the CCAP Policy Manual. The agency should consider pursuing a fraud determination through other means as described in section 14.12.6 in the CCAP Policy Manual. There also may be overpayments charged to the provider applied to time periods when Clause 2 occurred.

When enforcing this clause, you have the option to use MEC<sup>2</sup> generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

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

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

*Note:* If your agency uses DHS optional notices, add the optional notice(s) to Section IX.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval. You must also close the provider's registration in MEC<sup>2</sup>. Contact your CCAP Policy Specialist for system instructions.

- Clause 3:** A provider is in violation of Child Care Assistance Program rules, until the agency determines the violations have been corrected.

What CCAP rules are you choosing to implement under this clause?

1. Unreported changes in initial information in the Provider Registration and Acknowledgment, including but not limited to: change in household composition, rate changes, holiday/vacation days;
2. Unreported changes that would require a new background study, including but not limited to: household member turning 13 years old;
3. Failure to report when a child has been absent for more than seven consecutive scheduled days.

How will your agency determine the provider has corrected the condition?

1. Provider reporting changes via the DHS-7196 or another method.
2. Cooperation with the background study process for any household member over 13 years of age who may have moved in or had a birthday.

3. Provide four weeks of daily attendance records signed by parents/guardians and compare to billing forms for verification of accurate billing and attendance reporting.

Your agency may withhold payment for a period of up to three months beyond the time the condition has been corrected.

Will you apply a penalty period beyond when the condition is corrected?  Yes  No

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

-If a provider is cooperating with providing the requested documentation we will not impose a sanction but will issue overpayment as appropriate.  
-If a provider is not in cooperation with providing documentation a fraud investigation will be pursued;  
- First occurrence will be a warning and education of the policy;  
- Second occurrence will be a one month of penalty;  
- Third occurrence will be two months of penalty;  
- Any additional occurrences will result in three months of penalty per occurrence.

When enforcing this clause, you have the option to use MEC<sup>2</sup> generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

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

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

*Note:* If your agency uses DHS optional notices, add the optional notice(s) to Section IX.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval. You must also close the provider's registration in MEC<sup>2</sup>. Contact your CCAP Policy Specialist for system instructions.

**Clause 4:** A provider is operating after receipt of a licensing order of suspension or revocation (this occurs when providers are appealing the revocation or suspension) or a final order of conditional license, for as long as the conditional license is in effect.

*Note:* Agencies do not have the option to close registrations of providers operating with conditional licenses.

If you choose this option, DHS will send you a list once a month to inform you of providers in this category. You may act sooner if you learn of this licensing status through your licensors, etc. Contact your CCAP Policy Specialist if you are planning to take action prior to receiving the monthly DHS listing.

What licensing violations are subject to this clause?

Providers with a suspended license?  Yes  No

When applying this clause for a provider with a suspended license, what provider types will you apply the clause to?

Licensed family child care  Licensed centers  Both

Providers with a revoked license?  Yes  No

When applying this clause for a provider with a revoked license, what provider types will you apply the clause to?

Licensed family child care  Licensed centers  Both

When enforcing this clause, you have the option to use MEC<sup>2</sup> generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

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

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

Note: If your agency uses DHS optional notices, add the optional notice(s) to Section IX.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval. You must also close the provider's registration in MEC<sup>2</sup>. Contact your CCAP Policy Specialist for system instructions.

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

How will your agency determine the provider has corrected the condition?

- The provider must provide the attendance reports as requested.  
- The falsified documents must be corrected and signed off by the parent/guardian for correctness.  
- All attendance reports are to be retained for six years.  
Aitkin County will implement a random auditing process beginning January 1st, 2020 for verification of attendance records in hopes of eliminating this issue from happening.

Aitkin County would refer the provider to our Fraud Investigator and request the provider's attendance records for the child in question. If the provider did not cooperate with the Fraud Investigator, we will pursue an Intentional Program Violation and disqualification of the provider from CCAP in MEC<sup>2</sup>. Aitkin County will send out MEC<sup>2</sup> notices along with our Agency notice of decision as approved by DHS to notify the provider and the family of that provider, of our decision to revoke CCAP payments.

If the provider cooperates with the Fraud Investigator and provides documentation regarding the false attendance records and we can obtain proper documentation of attendance to determine proper payments that should have been made, Aitkin County would then impose an overpayment and claim to the provider for the time that was billed to CCAP. Aitkin County will request CCAP worker and accounting to monitor the attendance records, billing forms and payments to the provider for 3 months.

Your agency may withhold payment for a period of up to three months beyond the time the condition has been corrected.

Will you apply a penalty period beyond when the condition is corrected?  Yes  No

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

-If a provider is cooperating with providing the requested documentation we will not impose a sanction but will issue overpayment as appropriate.  
-If a provider is not in cooperation with providing documentation a fraud investigation will be pursued;  
- First occurrence will be a warning and education of the policy;  
- Second occurrence will be a one month of penalty;  
- Third occurrence will be two months of penalty;  
- Any additional occurrences will result in three months of penalty per occurrence.

When enforcing this clause, you have the option to use MEC<sup>2</sup> generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

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

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

Note: If your agency uses DHS optional notices, add the optional notice(s) to Section IX.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval. You must also close the provider's registration in MEC<sup>2</sup>. Contact your CCAP Policy Specialist for system instructions.

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

How will your agency determine the provider has corrected the condition?

-Aitkin County will submit a fraud referral to the Fraud Investigator to obtain the payment policies from the provider.  
-The Accounting and CCAP Workers will audit the billing forms for the provider rates to identify the date of the

change and what the accurate payment should have been.

- Aitkin County will issue an overpayment as appropriate
- Aitkin County will pursue an Intentional Program Violation if the Fraud Investigator determines this was an intentional lack of reporting.
- The provider must correct their policy with the correct pricing information
- The provider must charge CCAP families the same rate as non-CCAP families and vice versa.
- Aitkin County will monitor for three months of billing for accuracy

Your agency may withhold payment for a period of up to three months beyond the time the condition has been corrected.

Will you apply a penalty period beyond when the condition is corrected?  Yes  No

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

- If a provider is cooperating with providing the requested documentation we will not impose a sanction but will issue overpayment as appropriate.
- If a provider is not in cooperation with providing documentation a fraud investigation will be pursued.
- The first occurrence will be a warning and education of the policy
- second occurrence will be a one month of penalty
- third occurrence will be two months of penalty
- any additional occurrences will result in three months of penalty per occurrence.

When enforcing this clause, you have the option to use MEC<sup>2</sup> generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

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

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

*Note:* If your agency uses DHS optional notices, add the optional notice(s) to Section IX.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval. You must also close the provider's registration in MEC<sup>2</sup>. Contact your CCAP Policy Specialist for system instructions.

- Clause 7:** A provider fails to report decreases in a child's attendance. A provider must report to the county on the billing form when a child's attendance in child care falls to less than half of the child's authorized hours or days for a four-week period.

How will your agency determine the provider has corrected the condition?

- The provider must provide the attendance reports as requested.
- The falsified documents must be corrected and signed off by the parent/guardian for verification of accuracy.
- All attendance reports are to be retained for six years.
- Follow-up with random attendance report audits for verification of proper reporting.

Aitkin County will implement a random auditing process beginning January 1st, 2020 for verification of attendance records in hopes of eliminating this issue from happening.

Aitkin County would refer the provider to our Fraud Investigator and request the provider's attendance records for the child in question. If the provider did not cooperate with the Fraud Investigator, we will pursue an Intentional Program Violation and disqualification of the provider from CCAP in MEC<sup>2</sup>. Aitkin County will send out MEC<sup>2</sup> notices along with our Agency notice of decision as approved by DHS to notify the provider and the family of that provider, of our decision to revoke CCAP payments.

If the provider cooperates with the Fraud Investigator and provides documentation regarding the false attendance records and we can obtain proper documentation of attendance to determine proper payments that should have been made, Aitkin County would then impose an overpayment and claim to the provider for the time that was billed to CCAP. Aitkin County will request CCAP worker and accounting to monitor the attendance records, billing forms and payments to the provider for 3 months.

Your agency may withhold payment for a period of up to three months beyond the time the condition has been corrected.

Will you apply a penalty period beyond when the condition is corrected?  Yes  No

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

-If a provider is cooperating with providing the requested documentation we will not impose a sanction but will issue overpayment as appropriate.  
-If a provider is not in cooperation with providing documentation a fraud investigation will be pursued.  
-The first occurrence will be a warning and education of the policy  
-second occurrence will be a one month of penalty  
-third occurrence will be two months of penalty  
-any additional occurrences will result in three months of penalty per occurrence.

When enforcing this clause, you have the option to use MEC<sup>2</sup> generated notices or DHS optional notices to notify providers and/or families. The DHS optional notice to families communicates they are still eligible for CCAP. The DHS optional notice to providers gives specific information on why their registration closed and, according to policy, does not include provider appeal rights. Contact your CCAP Policy Specialist for samples of the DHS optional notices and instructions on how to use the notices.

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

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

*Note:* If your agency uses DHS optional notices, add the optional notice(s) to Section IX.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval. You must also close the provider's registration in MEC<sup>2</sup>. Contact your CCAP Policy Specialist for system instructions.

## B. Notification to providers

Your agency must notify all currently registered providers and any new providers wishing to register with your agency of the provider compliance clause(s) being implemented. Notification options include:

- Sending a mailing to all providers registered with your agency.
- Adding information to your agency's provider registration packets.

How will you notify providers about the provider compliance clauses your agency is choosing to implement? Add the notification document(s) to Section IX.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval.

ACHHS will send a memo to existing provider and add the memo to the provider registration packets for new providers. This memo will have the approved 2020-2021 Child Care Assistance Plan and the DHS-5260 Minnesota Child Care Assistance Program (CCAP) Child Care Provider Guide attached for all providers to review. This memo would be written and sent after final approval of the 2020-2021 CCAP Plan.

*Note:* This notice differs from the adverse action notice your agency sends when closing an individual provider's registration under these clauses.

## V. Policies applicable to legal nonlicensed (LNL) providers

### A. Unsafe care

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?**

None.

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?

We would follow Minnesota Statutes 245C.14, 245C.15 and 626.556 Reporting of Maltreatment of Minors. This would be determined via a consult with our Child Protection Team when a potential imminent danger presents itself.

### 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?

We currently do not have any unrelated LNL Providers and when the situation arises we will develop a tracking process to comply with this change. It is challenging to develop a plan if there is not a situation to track.

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

We currently do not have any unrelated LNL Providers and when the situation arises we will develop a process and procedure to comply with monitoring visits. It is challenging to develop a plan if there is not a situation to apply a process/procedure to.

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 conditions will be determined based on the level of correction that must be completed. This decision will be made on a case by case basis. For example: If the issue is a new fire extinguisher must be purchased the timeline would be a week for compliance to allow for a trip to a store or an online order to arrive to our rural area. If the correction is a mold issue that requires abatement, Aitkin County would allow a reasonable time for a contractor to be able to correct the issue based on a contractor's workload.

Aitkin County would allow two re-inspections to allow for clarification and education of the required correction.

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?

All parental complaints are logged on a complaint log maintained by the Financial Assistance Supervisor. Any reports of child or elder abuse will be maintained by the Social Services Teams.

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

Providers will receive information at orientation regarding complaints and how the information will be made available as authorized under MN Statutes, Chapter 13. Information is provided to the public following applicable data privacy laws.

### 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?

Any substantiated reports of child abuse will be maintained by the Social Services Team.

## 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.

1. County error in processing any aspect of the CCAP case that could have caused a delay in the submission of provider bills.
2. The provider has a personal or family emergency during the 60 day time period.
3. The CCAP family has a personal or family emergency during the 60 day time period and was not able to sign the billing.
4. An incident of natural disaster during the 60 day time period.

Payment can be made up to one year.

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

2a. DHS states CCAP agencies can decide which providers are granted access to submit bills using MEC<sup>2</sup> PRO. How do you decide which providers are granted access?

If the provider requests use of this program.

2b. When would you deny or revoke MEC<sup>2</sup> PRO access to any of these providers?

We would consider denial or revocation of this access if:

-a provider fails to provide requested documentation

-there was a determination of fraudulent billing forms current or in the past

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

Aitkin County uses electronic submission through MEC2 Pro. We do not requiring provider signatures on billing forms if a provider submits via MEC2 Pro.

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

## 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.

Agency error. Payment can be made up to one year. The payment correction would be made as of the date the error occurred up to the date the case was determined correctly. If this underpayment is more than a year prior to the date of correction we would not supplement the underpayment.

## E. Provider rates

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

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

## 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)

### 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
CCAP App Memo	<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
MEC2 Pro Letter	<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
MEC2 Pro Info Memo (signed)	<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
Top of the Wait List Memo	<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
Wait List Prelim Memo	<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
Wait List Funds Avail Temp Inelig	<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
6Month Wait List Update	<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

Name of agency developed form	Form reflects current CCAP policy	Status of current form
Prelim CCAP App	<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
Potential TY Elig Memo	<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
2020-2021 Notice to Providers	<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
Notc to Fam of Provider Closing	<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
Closing Notice Clause 1, 2 & 4	<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
Closing Notice Clause 3, 5, 6 & 7	<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
Clause 3 Compliance Letter	<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
Clause 5 Compliance Letter	<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
Clause 6 Compliance Letter	<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
Clause 7 Compliance Letter	<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
Provider Registration 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
Provider Renewal 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 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**

### **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**