Minnesota Department of **Human Services**

Administration of the Child Care Assistance Program

2016-2017 Kittson County and Tribal Child Care Plan

Administration of the Child Care Assistance Program

Background: Counties and tribes must submit a biennial Child Care Plan to the Commissioner. The Child Care Assistance Program (CCAP) rules and laws allow counties to establish some local policies and procedures. These local policies and procedures, when included in this plan and approved by the Commissioner, are considered county/tribal policy and are used to support agency decisions during appeals. The Department of Human Services (DHS) will review and approve County and Tribal Child Care Plans. Counties and tribes will receive approval letters for their Child Care Plans from the Commissioner of DHS. This plan period begins on January 1, 2016.

Minnesota Statute, section 119B.08, subdivision 3

Steps to complete the plan process:

Step One
Review the plan. Consider what changes to policies or procedures you will submit as compared to previous plans, or if any of the policy or procedures are new. Involve other staff as needed.

Note: New questions have been added and questions have been re-ordered.

Step Two
Draft the plan responses.

Step Three
Consider how you will inform or involve stakeholders in review of your plan. **DHS encourages counties and tribes to develop optional policies for the Child Care Assistance Program in coordination with local child care stakeholders.** This may include: parents, child care providers, culturally specific service organizations, Child Care Aware agencies (formerly known as child care resource and referral agencies), interagency early intervention committees, potential collaborative partners and agencies involved in the provision of care and education to young children. You may want to consult with other agency staff such as fraud investigators, income maintenance and employment services staff.

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

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

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

Amendments to Plans
A county or tribe may amend their Child Care Plan at any time, but the Commissioner must approve the amendment before it becomes effective. If approved by the Commissioner, the amendment is effective on the date requested by the agency unless a different effective date is set by the Commissioner. Plan amendments must be approved or denied by the Commissioner within 60 days after receipt of the amendment request.

Minnesota Rules, part 3400.0150, subpart 3

Amendments include changes in county/tribal contacts, county/tribal optional policies, new or revised forms and notices. Amendments can be sent in letter form or by email to the CCAP technical assistance liaison.

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

Minnesota Department of **Human Services**

DHS-5107-ENG 7-15

Administration of the Child Care Assistance Program

I. Child Care Assistance Program contacts

A. County or tribal agency

COUNTY OR TRIBE NAME	GENERAL PHONE NUMBER	EXTENSION	GENERAL FAX NUMBER
Kittson	218-843-2689		218-843-2607

AGENCY'S FULL NAME	CCAP INTAKE PHONE NUMBER	EXTENSION
Kittson County Social Services	218-843-2689	

MAIN OFFICE STREET ADDRESS	CITY	ZIP CODE
410 5th Street South Suite 100	Hallock	56728
MAIN OFFICE MAILING ADDRESS (if different)	CITY	ZIP CODE

B. County or tribal branch office (if applicable)

BRANCH NAME	GENERAL PHONE NUMBER	EXTENSION	GENERAL FAX NUMBER	CCAP INTAKE PHONE NUMBER	EXTENSION

ADDRESS OF BRANCH OFFICE	CITY	ZIP CODE

C. Agency contact people

This contact information is required to be completed and will be used by DHS staff to communicate with counties or tribes.

1. County or tribal CCAP administrative contact

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

○ Mr. ◉ Mrs. ○ Ms.	FIRST NAME	LAST NAME	
	Kathleen	Johnson	
TITLE	PHONE NUMBER	EXTENSION	FAX NUMBER
Director	218-843-2689		218-843-2607
EMAIL ADDRESS	SIR EMAIL ADDRESS		
kjohnson@co.kittson.mn.us	x135505@cty.DHS.state.mn.us		
ADDRESS	CITY	ZIP CODE	
410 5th Street South Suite 100	Hallock	56728	

2. County or tribal client access contact

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

○ Mr. ◉ Mrs. ○ Ms.	FIRST NAME	LAST NAME	
	Carrie	Gjerde	
TITLE	PHONE NUMBER	EXTENSION	FAX NUMBER
Case Manager	218-843-2689		218-843-2607
EMAIL ADDRESS	SIR EMAIL ADDRESS		
cgjerde@co.kittson.mn.us	X135510@cty.DHS.state.mn.us		
ADDRESS	CITY	ZIP CODE	
410 5th Street Suite 100	Hallock	56728	

3. Management of waiting list contact

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

○ Mr. ◉ Mrs. ○ Ms.	FIRST NAME Carrie	LAST NAME Gjerde		
TITLE Case Manager		PHONE NUMBER 218-843-2689	EXTENSION	FAX NUMBER 218-843-2607
EMAIL ADDRESS cgjerde@co.kittson.mn.us		SIR EMAIL ADDRESS x135510@cty. DHS.state.mn.us		
ADDRESS 410 5th Street South Suite 100		CITY Hallock		ZIP CODE 56728

D. Subcontracted services

Minnesota Rules, part 3400.0140, subpart 7

Counties and tribes may contract with an agency to administer all or part of their Child Care Assistance Program. Do not include cooperative agreements with employment and training service providers that work with MFIP/DWP families to develop and approve the employment service plan.

If you are planning any changes in the administration of your CCAP, notify your policy liaison immediately. This could involve subcontracting or mergers of counties. Failing to notify DHS may delay the changes that you are planning to make.

Does your county or tribe contract with an agency for any part of administration of CCAP? ○ Yes ◉ No

II. Collaboration and outreach

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

Minnesota Rules, part 3400.0140, subpart 2

All licensed day care providers are given information along with Headstart, WIC, and other child centered organizations.

B. Describe ways that you collaborate with other community based programs and service providers to maximize public and private community resources for families with young children. Include in this description the methods used to share information, responsibility, and accountability among the identified service and program providers, as listed in statute, as you work to foster collaboration among agencies and other community-based programs that provide flexible, family-focused services to families with young children and to facilitate transition into kindergarten.

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

Agency workers are involved with various collaboratives and team management groups to help coordinate child care assistance with other programs as children transition to Kindergarten. Such collaborations are between Kittson County Social Services and Public Health Nurses to coordinate Well Baby/Teen Checks, Immunizations, and other health related services. Kittson County Social Services also works with Headstart and ECFE to provide assessments and referrals for services for families with children that may exhibit delays or other concerning behaviors.

C. Describe procedures and methods that were used to make copies of this plan reasonably available to the public and the time that was allowed for public review and comment. You must make copies of the proposed plan reasonably available to the public, including members of the public particularly interested in child care policies such as parents, child care providers, culturally specific service organizations, Child Care Aware of Minnesota agencies (child care resource and referral), interagency early intervention committees, potential collaborative partners and agencies involved in the provision of care and education to young children. You must allow time for public review and comment prior to submission of this plan to DHS for approval.

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

Copies of the plan are available to all interested individuals from the following sources:
-Request a copy from any of the Child Care Assistance workers at Kittson County Social Services, 410 5th Street South, Suite 100, Hallock, MN 56728-4140
-Request a copy by phone, fax, email, or US Mail to Carrie Gjerde at 218-843-2689 (phone), 218-843-2607(fax), or cgjerde@co.kittson.mn.us or 410 5TH Street South, Suite 100, Hallock, MN 56728
_Going to the Kittson County Website at www.co.kittson.mn.us
We encourage review of the plan by interested parties and will take comments under consideration when reviewing or amending the plan.

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

IF YES, GIVE LOCATION AS A WEBLINK

http://co.kittson.mn.us/social-services/child-care-assistance-program/

III. Eligibility

A. Education plans under the Basic Sliding Fee Program (BSF)

Prior to completing this section, please review Minnesota Rules, part 3400.0040 and Minnesota Statutes 119B.07 in their entirety to ensure your policies are in compliance.

Minnesota Rules, part 3400.0040 **Minnesota Statute, section 119B.07**

1. High school diploma/GED high school equivalency diploma

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

Kittson County approves all educational programs that are needed for a parent student to receive their high school diploma or high school equivalency diploma as long as the student is attending the school & maintaining satisfactory progress as determined by the institute.

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

The program must be accredited. Online programs may be approved if they are approved by the MN Department of Education and are appropriate for the client and their circumstances such as availability of a computer.

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

Termination of a BSF education plan would result when a person was not making satisfactory progress according to the Educational facility or they were no longer eligible for CCAP.

2. Remedial and basic skills courses

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

There is no definite time limit in completing a basic skills course or English as a Second Language classes but regular testing will be written into the Education Plan to determine when skill levels have reached a level where employment or other training is possible.

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

Students must be attending an accredited program.

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

Termination would occur if a person was not making satisfactory progress toward completion of the program, was not attending classes as required by the Educational program or no longer eligible for CCAP.

3. Post-secondary

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

The procedures for discerning an acceptable course of study is the feasibility of the participant attaining successful completion of course of study and determination that studies will reasonably lead to full-time employment along with meeting long-term self-sufficiency needs. Agency team reviews plan along with class schedule and education goals. The Director gives final approval.

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

An applicant's choice of study, past performance, and feasibility of attaining self sufficiency.

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

The plan would be terminated if the participant was not meeting satisfactory progress as determined by the school, if the person was no longer eligible for CCAP, or if the participant changed their plan without approval.

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

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

◉ Yes ○ No

B. Basic Sliding Fee Waiting List Management

1. Priorities for service

Have you established sub-priorities for the fifth priority Basic Sliding Fee Child Care Assistance waiting list beyond those required in Minnesota Statute, section 119B.03, subdivision 4?

Minnesota Statute, section 119B.03, subdivision 4

○ Yes ◉ No

2. Six month review of Basic Sliding Fee Waiting List

CCAP Policy Manual, Chapter 4.3.12.12 | **Minnesota Statute, section 119B.03, subdivision 2**

2a. Statute requires that you review and update your waiting list at least every six months. Describe your agency process for reviewing and updating the waiting list. Include how families are notified of the six month review.

Families on our waiting list would be notified by mail of the six-month review, which includes information of MN Statute on waiting list management priority funding directives.

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

Families that did not respond to the first mailing would be sent another letter asking them to respond.

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

Families that did not respond would be removed from the waiting list and another letter stating this action would be sent to them.

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

Applications must be sent to families on the waiting list when there is funding available to add the family to the Basic Sliding Fee Program. At what point do you remove the family from the waiting list?

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

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

Minnesota Rules, part 3400.0040, subpart 17

Minnesota Rules, part 3400.0060, subpart 6

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

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

○ Yes ◉ No

C. Child care for job search activities

1. When you authorize child care assistance during job search activities for families without an approved employment plan, is it your policy to:

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

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

NUMBER OF HOURS AUTHORIZED PER WEEK
24

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

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

Kittson County Social Services manages job search activities through DHS Form 5784. If there is a discrepancy between hours expected and actual job search activities, the CCAP Case Manager discusses the discrepancy with the recipient. If further discrepancies continue, the KCSS worker assigned to the case notifies the participant with a 15 day notice of the reduction in authorized hours & effects of this on their current eligibility.

D. Child care for school release days

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

CCAP Policy Manual, Chapter 9.1.3

- ◉ Authorize actual hours needed and increase or decrease hours based on known school release days.

○ Authorize the hours care is needed when there are no school release days.

○ Authorize the highest number of hours care is needed with the provider.

○ Other method.

E. Child care for families with flexible schedules

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

CCAP Policy Manual, Chapter 9.1.6

◉ Authorize the typical number of hours needed and when the schedule requires additional care, the provider bills for the additional care.

○ Authorize the minimum number of hours care is needed and when the schedule requires additional care, the provider bills for the additional care. Payment is made by increasing the number of hours listed in the "total hours of care authorized" field on the billing window or by creating a new Service Authorization.

○ Authorize the highest number of hours care is needed with the provider. The provider is expected to bill only for the time that care is needed.

○ Other method.

F. Authorizing care for clients with Employment Plans

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

CCAP Policy Manual, Chapter 16.1

1a. Schedules and Authorizations

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

○ Job counselor provides schedule or days and times that child care is needed to CCAP worker.

◉ CCAP worker obtains schedule from client.

○ Other method.

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

◉ CCAP worker

○ Job counselor

○ Other method

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

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

IV. Provider compliance policies

A. Reasons for closing a provider's registration

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

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

CCAP Policy Manual, Chapter 9.3

CCAP Policy Manual, Chapter 14

Does your agency plan to disqualify providers for reasons listed in Minnesota Statutes, section 119B.13, subdivision 6(d)?

○ Yes ◉ No

V. Policies applicable to legal nonlicensed (LNL) providers

A. Unsafe care criteria

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

Individuals must pass a background study prior to being approved as an LNL provider. You have the option to apply additional conditions, beyond the background study disqualifications, under which care is considered unsafe. DHS recommends you review the following sections of statute to ensure that your policies are not requirements that are applied to all providers:

- Minnesota Statute, sections 119B.125, subdivision 2
- Minnesota Statute, sections 245C.14 or 245C.15

Note that a conviction for a crime or offense not listed in sections 245C.14 or 245C.15 is not an automatic bar to authorization as a legal nonlicensed family child care provider. A conviction for a crime or offense not listed may only bar an authorization if the crime or offense reflects on the provider's ability to provide care.

Do you apply additional conditions of unsafe care beyond those contained in Minnesota Statute, sections 245C.14 or 245C.15, to legal nonlicensed providers or legal nonlicensed care arrangements?

○ Yes ◉ No

B. Background checks for legal nonlicensed providers

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

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

○ Yes ◉ No

2. How often do you reauthorize providers?

○ Yearly ◉ Every Two Years ○ Other

3. Do you request background information from other agencies when a provider is registered by another agency?

◉ Yes ○ No

If yes with conditions, describe the conditions below.

It is used to determine if there have been any substantiated reports of maltreatment by the provider in another county.

C. Records of substantiated parental complaints

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

1. All complaints must be in writing with date, time, and description of the complaint.
2. Complaints must list any additional people whom might verify the description of the complaint.
3. All additional people, if any, are interviewed for complaint substantiation.
4. The legal non licensed provider is interviewed.
5. KCSS concludes its inquiry and notifies all parties of its decision.
6. If necessary, proper authorities are contacted.

2. How do you:

a. Maintain these records of substantiated complaints, and

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

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

a. Records are maintained in a file by the KCSS licensing worker.

b. All public information on substantiated complaints are available to the public upon request.

VI. Special needs rates

Special needs rates, above the standard maximum rates, can be paid to providers if approved by the Commissioner of DHS (up to the provider's charge).

Minnesota Statute, section 119B.13, subdivision 3	Minnesota Rules, part 3400.0130, subpart 3	CCAP Policy Manual, Chapter 9.54

A. Special needs rates for an individual child with special needs

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

B. Special needs rates for children in at-risk programs

You may choose to pay special needs rates to certain populations defined as "at-risk" in your County and Tribal Child Care Plan. You must have DHS approval for these rates to be paid. At-risk means environmental or familial factors exist that could create barriers to a child's optimal achievement. If you have chosen to pay special needs rates for specialized care to identified at-risk populations, include information for each facility that provides specialized services. If you have a contract with the identified facilities, submit the contract as an attachment to this plan.

Identified at-risk population group	Facility name	Rate by age category	Rate schedule	Begin date	Documentation that supports the approved rate that is on file from the provider	Documentation in the file that supports that the child is included in the at-risk population

If this information changes, including additional population groups identified by your agency, new facilities, or a proposed change in rates paid, DHS must approve the change. Submit a request to amend your plan. This information will be used during case audits.

C. Special needs rates for care of sick children

You may choose to pay special needs rates for the care of sick children. Special needs rates for care of sick children apply to rates paid above the standard maximum rates to a provider that cares for sick children. You must have DHS approval for these rates to be paid.

Minnesota Rules, part 3400.0110, subpart 8

1. Identify the provider type, rate(s) approved, rate schedule and the approved rate begin date for each special need rate currently paid above the standard maximum rate when care is for a sick child. **Do not attach client-specific information to this plan.**

Provider type	Rate by age category	Rate schedule	Approved rate begin date

VII. Payment policies

A. Payment to two providers when a child is sick

When a child is sick and being cared for by a second provider, do you pay both the regular provider that charges an absent day if the child has not reached the absent day limit and the second provider that is caring for the child?

Minnesota Rules, part 3400.0110, subpart 8

◉ Yes ○ No

Note: If the rate paid for care of sick children exceeds maximum rates, the "rates for care of sick children" must be included in the special needs rates section of this plan.

B. Provisional payment of legal nonlicensed providers

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

Minnesota Statute, section 119B.125, subdivision 5

Minnesota Rules, part 3400.0110, subpart 2a

○ Yes ◉ No

C. Submission of invoices

Minnesota Statute, section 119B.13, subdivision 6

If a provider receives an authorization of care and a billing form for an eligible family, the provider must submit the billing form to the agency within 60 days of the last date of service on the billing form. If the provider shows good cause for the delay then you may pay bills submitted after 60 days.

1. What is your **definition of good cause** for delay in submitting a billing form? Agency error must be included in this definition.

   Provider good cause for delay in bill submissions will include extenuating circumstances for the Provider, such as, human error, illness, vacation, and absences. Good cause will also include county error regarding the bills submitted.

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

   Hospitalization or incapacity of a provider to sign the billing form.

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

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

   Hospitalization or incapacity of a parent to sign the billing form.

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

   N/A

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

   N/A

D. Underpayments

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

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

Corrective payments are done in situations where there was originally an error made by the provider on the bill or the amount entered for the payment by the CCAP worker was entered incorrectly into MEC2.

E. Provider rates

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

F. Absent day policy

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

Minnesota Statute, section 119B.13, subdivision 7

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

Do you have any approved child care providers that meet these requirements? ○ Yes ◉ No

VIII. Program integrity

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

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

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

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

IX. Other responsibilities

A. Identify any other policies that apply to the Child Care Assistance Program which are not specifically required by state or federal rule or law.

Minnesota Rules, part 3400.0140, subpart 1 | **Minnesota Rules, part 3400.0150, subpart 2**

No other policies are added.

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

Note: Refer to the DHS memo announcing this plan for a list of DHS created documents that are required for CCAP. You should use the DHS required documents that are listed. We encourage use of the other DHS documents.

Use this table to list current agency developed forms and assure compliance. All new and/or amended forms, agreements/contracts or other written documents and materials that have not been previously approved or standardized through MEC² that are used for the administration of the Child Care Assistance Program must be submitted with this plan for DHS approval. These forms and documents must comply with current statute, memos, bulletins, and the CCAP Policy Manual. If a policy handbook is submitted, highlight the content that has not been previously approved. Only those unapproved sections that are not found in the CCAP Policy Manual, MEC² User Manual, "Do You Need Help Paying for Child Care" (DHS-3551) and the "CCAP Provider Guide" (DHS-5260) will be reviewed. Forms standardized through MEC²/DHS do not need to be listed or submitted.

Name of County Developed Form	Form reflects current CCAP policy	Status of current form
Waiting List Funds Available	☒ Agency assures compliance	☐ DHS approved ☒ Needs DHS approval AND ☒ Form is submitted with plan
Waiting List Six Month Update	☒ Agency assures compliance	☐ DHS approved ☒ Needs DHS approval AND ☒ Form is submitted with plan

X. County and tribal assurances

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

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

Minnesota Rules, part 3400.0035, subpart 1

- The documentation necessary to confirm eligibility for CCAP
- Waiting list information
- Application procedures

☒ **County or tribe assures compliance**

In addition, the agency uses the following:

"Parent Acknowledgement When Choosing a Legal Nonlicensed Provider" (DHS-5367) assures compliance with the following:

- Families rights and responsibilities when choosing a provider

"Do You Need Help Paying for Child Care?" (DHS-3551) assures compliance with the following:

- Federal and state child and dependent care tax credits
- Earned income credits
- Other services for families with young children
- Child Care Aware services
- Child Care Assistance Program eligibility requirements
- Family copayment fees and how computed
- Information about how to choose a provider
- Availability of special needs rates
- The family's responsibility for paying provider charges that exceed county maximum payments in addition to the family copayment fee; and
- The importance of prompt reporting of a move to another county to avoid overpayments and to increase the likelihood of continuing benefits.

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

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

Distribution requirements may be accomplished by giving the materials directly to the provider, or to the parent and establishing a method to ensure that the provider receives the material. Minnesota Rules, part 3400.0140, subpart 5.

Minnesota Rules, part 3400.0140, subpart 5

Use of "Health and Safety Resource List for Parents and Legal Nonlicensed Providers" (DHS-5192A) assures compliance with the following:

- Child immunization requirements
- Child nutrition
- Child protection reporting responsibilities
- Health and safety information
- Child development information; and
- Referral to Child Care Aware

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

OR

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