

# Administration of the Child Care Assistance Program

## 2022-2023 Chisago 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 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, 2022.

Minnesota Statute, section 119B.08, subdivision 3

Steps to complete the plan process:

#### Step One – Review the plan

Review this plan. Determine if there are changes compared to previous plans or if there are new policies or procedures. Involve other staff as needed.

#### Step Two – Draft the plan responses

Note these guidelines:

- Identify all optional county/tribal Child Care Assistance Program policies; see question X.A.
- Do not answer questions by stating that the reviewer should refer to a previous plan
- Submit any agency-developed documents that have not been previously submitted and approved. Do not submit DHS and MEC<sup>2</sup> standardized documents. Refer to the DHS memo announcing this plan for a list of DHS created documents.
- Answer each question. Incomplete plans will be returned.

#### Step Three – Inform or involve stakeholders

**DHS encourages counties and tribes to develop optional policies in coordination with local child care stakeholders.** This may include: parents, child care providers, culturally specific service organizations, Child Care Aware agencies, interagency early intervention committees, 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 (Friday, September 17, 2021)

#### Amendments to plans

A county or tribe may amend their Child Care Fund Plan at any time. 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 child care assistance policy specialist.

Return completed plans by **Friday, September 17, 2021** 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 Chisago	GENERAL PHONE NUMBER 651-213-5200	EXTENSION	GENERAL FAX NUMBER 651-213-5411
AGENCY'S FULL NAME Chisago County Health and Human Services		CCAP INTAKE PHONE NUMBER 651-213-5200	EXTENSION
MAIN OFFICE STREET ADDRESS 6133 402nd Street	CITY North Branch	ZIP CODE 55056	
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.

#### 1. County or tribal director

FIRST NAME Robert	LAST NAME Benson			
PHONE NUMBER 651-213-5664	EXTENSION	EMAIL ADDRESS robert.benson@chisagocounty.us		
ADDRESS 313 North Main Street	CITY Center City		ZIP CODE 55012	

#### 2. 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.

FIRST NAME Ami	LAST NAME Helmbrecht			
TITLE Financial Assistance and Childcare Licensing Supervisor			PHONE NUMBER 651-213-5265	EXTENSION
EMAIL ADDRESS ami.helmbrecht@chisagocounty.us		SIR EMAIL ADDRESS X113610@cty.dhs.state.mn.us		
ADDRESS 6133 402nd Street	CITY North Branch		ZIP CODE 55056	

### 3. 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.

FIRST NAME Tracy	LAST NAME Klinker		
TITLE Financial Worker	PHONE NUMBER 651-213-5264	EXTENSION	
EMAIL ADDRESS tracy.klinker@chisagocounty.us	SIR EMAIL ADDRESS X113429@cty.dhs.state.mn.us		
ADDRESS 6133 402nd Street	CITY North Branch	ZIP CODE 55056	
FIRST NAME Nicole	LAST NAME Thorstenson		
TITLE Financial Worker	PHONE NUMBER	EXTENSION	
EMAIL ADDRESS nicole.thorstenson@chisagocounty.us	SIR EMAIL ADDRESS X113635@cty.dhs.state.mn.us		
ADDRESS 6133 402nd Street	CITY North Branch	ZIP CODE 55056	

### 4. Management of waiting list contact

Who is your waiting list contact person? Only identify one waiting list contact.

FIRST NAME Tracy	LAST NAME Klinker		
TITLE Financial Worker	PHONE NUMBER 651-213-5264	EXTENSION	
EMAIL ADDRESS tracy.klinker@chisagocounty.us	SIR EMAIL ADDRESS X113429@cty.dhs.state.mn.us		

### 5. 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.

FIRST NAME Lynn	LAST NAME Saumer		
TITLE Account Technician	PHONE NUMBER 651-213-5654	EXTENSION	
EMAIL ADDRESS lynn.saumer@chisagocounty.us	SIR EMAIL ADDRESS X113587@cty.dhs.state.mn.us		

## 6. Provider registration contact

Who is your lead provider registration contact person? Only identify one provider registration contact.

FIRST NAME Michelle	LAST NAME Beuke		
TITLE Case Aide		PHONE NUMBER 651-213-5249	EXTENSION
EMAIL ADDRESS michelle.beuke@chisagocounty.us		SIR EMAIL ADDRESS X113593@cty.dhs.state.mn.us	

## 7. Legal nonlicensed provider monitoring contact

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

FIRST NAME Michelle	LAST NAME Beuke		
TITLE Case Aide		PHONE NUMBER 651-213-5249	EXTENSION
EMAIL ADDRESS michelle.beuke@chisagocounty.us		SIR EMAIL ADDRESS X113593@cty.dhs.state.mn.us	

## 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)

Child Care Assistance Brochures are available in the Center City and North Branch offices of Chisago County Health and Human Services. Childcare Assistance information is also posted on our County Website, in local news papers and at the school districts offices. Child Care Assistance is also discussed during interviews with families and at Employment Services. Childcare Licensing staff explain CCAP during provider orientation.

**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))

Collaborative partnerships have been established with Child Care Aware, Early Childhood Coalitions for the county as well as in specific school districts. Integrated service consultation occurs regularly with social services, income maintenance and workforce staff in order to increase awareness of the program.

Additionally, child care assistance brochures are available throughout the county and on the county website. Providers are informed of Child Care Assistance information through correspondence sent through the licensing unit. All local social service agencies, newspapers and families who request information are provided a description of the services provided by the Health and Human Services department, which includes Child Care Assistance. We also attend many community functions and meetings where we hand out brochures and speak on the availability of CCAP.

**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.

Collaborative partnerships have been established with Child Care Aware, Early Childhood Coalitions for the county as well as in specific school districts. Integrated service consultation occurs regularly with social services, income maintenance and workforce staff in order to increase awareness of the program.

Additionally, child care assistance brochures are available throughout the county and on the county website. Providers are informed of Child Care Assistance information through correspondence sent through the licensing unit. All local social service agencies, newspapers and families who request information are provided a description of the services provided by the Health and Human Services department, which includes Child Care Assistance. We also attend many community functions and meetings where we hand out brochures and speak on the availability of CCAP.

**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, 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.

Chisago County posts the Child Care Fund Plan on our County website for public notice and will remain there for public review. We also have copies in our lobbies in North Branch and Center City.

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

30 days prior to submitting. The approved Child Care Fund Plan will be available in the lobbies and on our County website.

**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. Identify agency developed documents used for education plan requests and notices used to communicate approval or denial in each response and list these in the agency developed document section X.B.

#### 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.

Child Care Assistance can be authorized for students who are enrolled in a County approved education or training program and who have an approved Education Plan (EP). They must also meet all eligibility requirements, ie. income, waiting list, activity, child support cooperation, verifications, etc. before BSF/TY can be approved.

The person who completes the EP with the client varies based on the child care program and the client's age:

BSF/Transition Year Post-Secondary or continuing education students must complete an EP (provided by Chisago County) and it must be approved by the Child Care Worker and Child Care Supervisor before care can be authorized.

**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).

Basic Sliding Fee (BSF) and/or Transition Year (TY) students must have an EP approved by Child Care Assistance.

Post-secondary clients must be attending a training institution that meets one of the following:

- Approved by the Higher Education Coordinating Board - Institution of Higher Education
- Approved by the Minnesota Department of Human Services through a funding agreement
- Has State and Federal related financial aid available to students
- An Employer provided training course that will result in a certificate and/or job once training course is completed

The maximum time a student can receive child care for education/training is the time necessary to complete credit requirements for an associate or baccalaureate degree as determined by the educational institution (excluding remedial education).

Students must be in good standing and making satisfactory progress in chosen training program.

Chisago County will review the occupation size and position salary range using [www.iseek.org](http://www.iseek.org) or [www.bls.gov](http://www.bls.gov) to determine potential job availability and starting salary. If you cannot find occupation and salary information on-line, request the salary range and job placement information from the parent. He or she can work with their school counselor to obtain this information.

Determine if the parent is currently employed or was employed in the last year. If either is true, an education program can only be approved if the anticipated starting full-time salary in any of the following is at least 125% of the following (whichever is higher):

- \* their current salary
- \* salary at the time of leaving employment or
- \* salary of the field related to past education program.

NOTE: This does not pertain to persons who are unable to continue employment due to illness or injury.

Assess current class schedule, number of credits or classroom hours per week, most recent grades available, fee statement and financial aid award letter to determine amount of child care. Documentation should be in case file before care is authorized.

Assess the financial resources the parent has available to pay for school. If the parent does not have resources or support to pay for school, the EP cannot be approved until school funding is available or they provide documentation of how they will pay for their school.

Full time students are eligible for work related child care if they work an average of 10 hours per week averaging minimum wage. Work-study hours are counted toward the employment hour requirement. Work study earnings are

excluded. Full time students who take the summer off school but intend to return full time in the fall are also eligible for work related child care during the summer if they work at least 10 hours per week making at least minimum wage.

#### 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

Identify the additional priorities and rationale for determining those additional priorities. (Minnesota Rules, part 3400.0140, subpart 10)

1. Single parent households to support employment activities only.
2. Two parent households to support employment activities only.
3. Single and two parent households for job search.
4. Single and two parent household for approved education plans.

#### 2. When adding a family to your BSF waiting list, you must inform the family of the priority group determination, and the number of families on the waiting list or an estimated time that they will spend on the waiting list before reaching the top.

How do you notify a family they were placed on the waiting list?

- The family is sent DHS-7883A (You have been placed on the Child Care Assistance Program (CCAP) waiting list)  
 The family is sent a notice developed by our agency (list this notice in section X.B Agency developed documents)

#### 3. Six month review of Basic Sliding Fee Waiting List

CCAP Policy Manual,  
Chapter 4.3.12.12

Minnesota Statute, section  
119B.03, subdivision 2

3a. Statute requires that you review and update your waiting list at least every six months. How are families notified of this six month review?

- The family is sent DHS-7883B (Child Care Assistance Program (CCAP) waiting list update)  
 The family is sent a notice developed by our agency (list this notice in section X.B Agency developed documents)

Describe your agency's process for reviewing and updating the waiting list. If your agency does not currently have a waiting list, describe your process in the event your agency does start a waiting list.

Families are added to the waiting list by priority. They will receive DHS Form 7883A notifying them that they have been added to the waiting list. The waiting list is reviewed monthly and DHS Form 7883C is sent once a family is at the top of the list. Every six months the waiting list is reviewed and updated. All families on the waiting list are sent DHS Form 7883B to notify them that they are still on the waiting list. We request they complete this form so that we can keep the list and their contact information up to date. The DHS Form states that if they do not respond they will be removed from the waiting list. They have 15 days to respond to the County before their name is removed from the waiting list.

3b. How are families notified they are removed from the waiting list for not responding to the six month review?

- Families are sent an additional notice  
 The family is sent DHS-7883D (You will be removed from the Child Care Assistance Program (CCAP) waiting list)  
 The family is sent a notice developed by our agency (list this notice in section X.B Agency developed documents)  
 Six month review letter includes notification they will be removed from the waiting list if they don't respond

#### 4. 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?

- 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.
- 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.

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

When a family reaches the top of the waiting list and is temporarily ineligible, 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

Do you have an alternate procedure 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?

MEC2 Notices, Service Agreements to parents and providers and case notes for billing workers.

#### D. Child care for families with flexible schedules

1. How do case workers authorize care for families with flexible schedules in your agency?

- 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.

CCAP Policy Manual, Chapter 9.1.6

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

MEC2 Notices, Service Agreements to parents and providers and case notes for billing workers.

#### 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.

How do CCAP workers receive schedule information for Employment Plan activities?

Job Counselor provides information on the participants activities which includes days and times child care is needed on the participants employment plan, which is given to the Childcare Worker also. The Childcare Worker will request verifications of school and/or work schedule which will help determine the amount of hours needed to be authorized.

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

Status Update Forms, Employment Plans and/or email are used. Verbal communication accepted as long as it is followed up with written documentation such as an email and/or Status Update Form.

## F. Extending redetermination dates beyond 12 months

Redeterminations may be extended beyond 12 months for a family that has a caregiver under the age of twenty-one, who does not have a high school or general equivalency diploma (GED), and is a student in a school district or another similar program that provides or arranges child care, parenting, social services, career and employment supports and academic support to achieve high school graduation.

An agency may identify other reasons to extend redetermination dates beyond 12 months as an optional policy. For example, an agency may extend redetermination dates to balance out a workload. See CCAP Policy Manual, Chapter 10.3.

1. Does your agency extend redetermination dates beyond 12 months?

- Yes
- No

## 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 seven 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 13

- An agency cannot implement these policies without establishing them in their plan.
- An agency must notify their child care assistance 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 13 of the CCAP Policy Manual. The agency should consider pursuing a fraud determination through other means described in section 13.9.3 in the CCAP Policy Manual. There also may be overpayments charged to the provider applied to time periods when Clause 1 occurred.

- 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 13 of the CCAP Policy Manual. The agency should consider pursuing a fraud determination through other means as described in section 13.9.3 in the CCAP Policy Manual. There also may be overpayments charged to the provider applied to time periods when Clause 2 occurred.

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

- 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).

*Note:* Agencies do not have the option to close or deny 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 child care assistance 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 implementing clause 4, you have the option to use MEC<sup>2</sup> generated notices or DHS-approved optional notices to notify providers. The optional notice to providers gives specific information on why their registration closed. Contact your child care assistance policy specialist for samples of the optional notices and instructions on how to use the notices.

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

- 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?

Either by providing accurate attendance records and/or by submitting a signed statement that they understand and will follow the requirement(s) in the future.

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

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

**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?

Provider must submit a signed statement that they understand and will follow the requirement(s) in the future.

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

## 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 X.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval.

Notice of Child Care Assistance Program Policies Form Letter will be mailed to all current providers and also included in all provider registration packets.

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

## V. Unsafe care

### 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 (LNL) provider, certified license exempt center, or a provider licensed by an entity other than the state of Minnesota, child care authorization must be terminated immediately. See Minnesota Rules 3400.0185, subpart 2, clause D.

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.

#### 1. Conditions of unsafe care

1a. Identify any additional conditions of unsafe care your agency applies to providers. NOTE: For legal nonlicensed providers, 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 required treatment by a physician.

Chisago County Unsafe Care Criteria - This pertains to only Legal Non-Licensed Providers:  
Each county can establish its own unsafe care criteria to supplement and support the statutory requirements (MN Statute 119B.125 subd. 4).

Provider authorization may be denied or rescinded if any of the following conditions are present in the child care arrangement, based on credible reports:

- Dangerous, or uncontrolled animals (such as dogs),
- Substandard sanitation (such as clutter that inhibits free movement in the home, undisposed pet or other urine or feces, or uncontained garbage),
- Lack of age-appropriate supervision (such as inadequate supervision of young children),
- Child access to drugs or guns,
- Illegal activities that may place the child in a harmful situation (such as prostitution, drug sales or production, or access to firearms),
- Presence of a known sex offender,
- Care provider has a known physical or emotional impairment that inhibits their ability to appropriately care for the child(ren), or interferes with their ability to respond promptly to an emergency situation (such as a provider who has their own Personal Care Attendant for a disabling condition),
- Exposure to violence,
- Listed as a "multi-state offender" on BCA results,
- Sufficient evidence of conduct of the applicant, any other household member or other individual present in the residence having contact with the child, which indicates a risk of harm to the child's health, safety or rights of the child.
- Chisago County requires that legal non licensed child care providers report any injuries to children, while in their care to the Registration Worker, using the form provided to them in their registration packet.

1b. Do these conditions apply to all provider types? If no, explain which criteria apply to which provider types.

Yes

## 2. 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 provider, certified license exempt center or a provider licensed by an entity other than the state of Minnesota, child care authorization must be terminated immediately. Agencies do not give the provider 15 calendar days notice. See [Minnesota Rules 3400.0185, subpart 2, clause D](#).

2a. Of the unsafe care conditions listed in V.A.1, 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 recognize all of the ones listed in V.A.1.

2b. Do these conditions apply to all of these provider types: legal nonlicensed providers, certified license exempt centers and providers licensed by an entity other than the state of Minnesota? If no, explain which criteria apply to which provider types.

No these conditions only apply to Legal Non Licensed. The other provider types are already governed under statute and rule.

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

### A. 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? NOTE: DHS typically sends a list of annual monitoring visits that must occur within the next 90 days, but agencies must take other steps to monitor authorized LNL provider caseloads to ensure all providers who need an annual monitoring visit are identified.

We have not had any Legal Non Licensed Providers since this change but in the event that we do we would calendar it to ensure it gets completed. A reminder notice would be also set.

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

Our provider worker is the one who would complete the monitoring visit and it would be similar to licensed provider visits. Following all guidelines and times frames as required.

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?

Within 15 days of the first visit a second and final monitoring visit will be completed.

Other

### B. 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?

When a complaint comes into the agency it will be entered into SSIS through CEP/Intake and it is referred to the proper department to investigate (ie: Child Protection, Sheriff's Department, etc.). The following steps are taken to

maintain these records and when information is available to the public when requested:

- a. Electronic copy of complaint log and SSIS Intakes
- b. If the complaint is documented in a complaint log it is made available to the public upon request through the Income Maintenance Supervisor or Licensing Supervisor.

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

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?

Our Case Aide is in charge of completing this form. Any incident reported is documented and this form is completed and sent to DHS quarterly as required.

## VII. 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 for 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

## VIII. 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. A natural disaster that damages, destroys, or prevents access to child care business records or county error that prevents a timely submission of a bill.
2. County or state delay in the issuance of the the billing form.
3. When the provider has notified the county within 60 days of the last day of the billing cycle, that a voucher was not received and the provider requests a replacement voucher. In these instances the provider must have the reissued voucher received in the county office within 75 days of the last date of the billing cycle.

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

**2a.** Child care assistance 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?

We allow access to all providers who wish to participate in billing through the PRO system.

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

If a provider falsifies information or fails to report changes in rates.

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

Circumstances include times when the provider cannot be contacted and/or physically able to sign.

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

**4a.** When is a parent signature not needed on a paper billing form?

Circumstances include times when the parent cannot be contacted and/or physically able to sign.

## 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.

Circumstances include times when the parent cannot be contacted and/or physically able to sign.

## E. Provider rates

Does your agency enter provider rates on MEC?  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

## IX. Program integrity

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

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

If yes, describe the process, including:

- How cases are selected,
- Which staff complete the reviews,
- What forms are used (DHS-5312D is available. If a different form is used, please list form(s) in Section X.B. Agency developed documents and submit with plan),
- How errors are resolved, and
- How staff are informed of correct policy.

Financial Supervisor will randomly pull two cases a month and conduct a case management review. Financial Supervisor will also select two more random cases a month and have the CCAP workers do a peer review. The DHS Case Review Form (DHS-5312D) will be used to complete the reviews. The Financial Supervisor will retain all of the completed reviews and follow up to make sure cases are corrected if necessary, detect error prone areas and provide training to detour future errors.



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

If yes, describe the process, including:

- How providers are selected,
- Which staff complete the reviews,
- What forms are used (DHS-5312E is available. If a different form is used, please list form(s) in Section X.B. Agency developed documents and submit with plan),
- How errors are resolved, and
- How staff are informed of correct policy.

Provider cases will be randomly selected for review monthly and completed by using forms provided by DHS; if there are errors discovered the CCAP Licensing Unit will act accordingly to correct and document. Cases are also reviewed if there is reasonable cause for concern.

Provider must provide attendance records upon request from the County at any time. If the provider is unable to produce the attendance records at that time the County has the option to put a correction order in place or to close the providers registration if the provider does not follow through with the correction order.

Providers will be notified by using the appropriate DHS form.

To demonstrate compliance with the above requirements, the provider must submit a signed statement that they understand and will follow the requirement(s) in the future. If the County makes the decision to close a provider registration and a provider corrects a requirement prior to the end of the 15 day notice period, then the registration will be reinstated. If a provider corrects a requirement after their registration closes, they must re-register using the appropriate Provider Registration Form DHS 7195, DHS 5190, DHS 5191 or DHS 5192 and submit for approval.

If it has been determined by the fraud investigator that the attendance records are falsified, the County has the option to close the providers registration.

## X. 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)

Clause 5: Provider must provide attendance records upon request from the County at any time. If the provider is unable to produce the attendance records at that time the County has the option to put a correction order in place or to close the providers registration if the provider does not follow through with the correction order. The County will determine if there will be overpayments established based on not providing the requested documentation.

Providers will be notified by using the appropriate DHS form.

To demonstrate compliance with the above requirements, the provider must submit a signed statement that they understand and will follow the requirement(s) in the future. If the County makes the decision to close a provider registration and a provider corrects a requirement prior to the end of the 15 day notice period, then the registration will be reinstated. If a provider corrects a requirement after their registration closes, they must re-register using the appropriate Provider Registration Form DHS 7195, DHS 5190, DHS 5191 or DHS 5192 and submit for approval.

If it has been determined by the fraud investigator that the attendance records are falsified, the County has the option to close the providers registration.

## B. Agency developed documents

- All agency developed forms and notices used for the Child Care Assistance Program must reflect current policy and be approved by DHS.
- Counties and tribes must use documents developed by DHS for administration of child care assistance.
- Agency developed documents must not duplicate or replace DHS documents.
- Local agencies may create supplemental documents subject to DHS approval.
- Documents 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 child care assistance policy and laws.

### Document inventory for your agency

Use this table to list all agency developed forms, notices, and documents your agency uses to administer child care assistance. List all documents in the table. Submit any new and revised forms, notices or written documents that have not been previously approved.

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 the Child Care Assistance Program. Do not list or submit DHS created documents.

Name of agency developed document	Document reflects current CCAP policy	Status of current document
Notice of Child Care Assistance Program Policies	<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 document - needs DHS approval

## XI. 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**