

Administration of the Child Care Assistance Program

2022-2023 Brown 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 MEC² 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

Administration of the Child Care Assistance Program

I. Child Care Assistance Program contacts

A. County or tribal agency

COUNTY OR TRIBE NAME Brown	GENERAL PHONE NUMBER 507-359-6500	EXTENSION	GENERAL FAX NUMBER 507-359-4146
AGENCY'S FULL NAME Brown County Human Services		CCAP INTAKE PHONE NUMBER 507-359-6500	EXTENSION
MAIN OFFICE STREET ADDRESS 1117 Center Street	CITY New Ulm	ZIP CODE 56073	
MAIN OFFICE MAILING ADDRESS (if different) P.O. Box 788	CITY New Ulm	ZIP CODE 56073	

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 Barb	LAST NAME Dietz	
PHONE NUMBER 507-359-6500	EXTENSION	EMAIL ADDRESS barb.dietz@co.brown.mn.us
ADDRESS 1117 Center Street, P.O. Box 788	CITY New Ulm	ZIP CODE 56073

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 Nancy	LAST NAME Braam	
TITLE Financial Supervisor	PHONE NUMBER 507-359-6500	EXTENSION
EMAIL ADDRESS nancy.braam@co.brown.mn.us	SIR EMAIL ADDRESS X108544@cty.dhs.state.mn.us	
ADDRESS 1117 Center Street, P.O. Box 788	CITY New Ulm	ZIP CODE 56073

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 Pauline	LAST NAME Holz		
TITLE Child Care Specialist	PHONE NUMBER 507-359-6500	EXTENSION	
EMAIL ADDRESS pauline.holz@co.brown.mn.us	SIR EMAIL ADDRESS X108201@cty.dhs.state.mn.us		
ADDRESS 1117 Center Street, P.O. Box 788	CITY New Ulm	ZIP CODE 56073	
FIRST NAME Abigail	LAST NAME Schwab		
TITLE Child Care Specialist	PHONE NUMBER 507-359-6500	EXTENSION	
EMAIL ADDRESS abigail.schwab@co.brown.mn.us	SIR EMAIL ADDRESS X108578@cty.dhs.state.mn.us		
ADDRESS 1117 Center Street, P.O. Box 788	CITY New Ulm	ZIP CODE 56073	

4. Management of waiting list contact

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

FIRST NAME Pauline	LAST NAME Holz		
TITLE Child Care Specialist	PHONE NUMBER 507-359-6500	EXTENSION	
EMAIL ADDRESS pauline.holz@co.brown.mn.us	SIR EMAIL ADDRESS X108201@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 Peggy	LAST NAME Klingler		
TITLE Accounting Technician	PHONE NUMBER 507-359-6500	EXTENSION	
EMAIL ADDRESS peggy.klingler@co.brown.mn.us	SIR EMAIL ADDRESS X108542@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 Peggy	LAST NAME Klingler		
TITLE Accounting Technician		PHONE NUMBER 507-359-6500	EXTENSION
EMAIL ADDRESS peggy.klingler@co.brown.mn.us		SIR EMAIL ADDRESS X108542@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 Pauline	LAST NAME Holz		
TITLE Child Care Specialist		PHONE NUMBER 507-359-6500	EXTENSION
EMAIL ADDRESS pauline.holz@co.brown.mn.us		SIR EMAIL ADDRESS X108201@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](#))

<ul style="list-style-type: none">- Brochures available in lobby, provided to Brown County organizations, and health and trade fairs such as ECFE preschool information night- Monthly meetings with Employment Services regarding MFIP and DWP participants- CCAP informational sheet provided to all licensed family daycare providers- Referrals are given as needed for programs that families qualify for- Information available on County website with link to DHS CCAP information- Public notices in local newspapers, publications, and community access television- Annual outreach to area child care centers to drop off resources and discuss Child Care Assistance Program
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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))

United Way of the Brown County Area, Minnesota Valley Action Council, Child Care Aware, School Readiness, Early Learning Scholarships Administrator, ECFE, Community Preschools, Community Health Fairs, Brown County's Website, First Children's Finance, Region 9, Families First, Public Health, WIC. Parent Support Outreach Program, Head Start, Ivy House (Crisis Nursery), NUMAS Haus, Heart to Home, Brown County Human Services, Help Me Grow, SEED Program, Greater Minnesota Family Services, and Licensed Family Child Care Providers and Centers.

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.

- Brown County Human Services meets with the United Way of the Brown County Area
- Monthly meetings with MVAC Employment Services regarding MFIP and DWP participants
- Participation in the Preschool Information Night for ECFE Preschool Registration
- Brochures are provided to organizations upon request and provided for health fairs, community events, etc.
- CCAP information is available on the Brown County website with link to DHS CCAP information
- Monthly representation of Agency with region nine Families first agency. Work with Families First Early Learners Scholarship Administrator.
- Referrals are given as needed for qualified families such as; CCAP, PSOP, PCA, WIC, SEED Program, Brown County Family Facilitators, Head Start, Crisis Nursery/Ivy House, NUMAS Haus, Heart to Home, child care centers, high schools and colleges, etc. Assist with coordination of these services for the child's benefit.
- Brown County Provides information and makes referrals for children to Help Me Grown and Greater Minnesota Family Services for early intervention
- Collaborate with Families First regarding Early Learning Scholarships for families annually
- Send monthly newsletters to licensed child care providers within Brown County with updated information

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.

The plan is posted on the Brown County website for public review for a minimum of 30 days. An email is sent to licensed family child care providers with a link to the 2022-2023 plan.

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

Our draft plan was posted on July 9th - August 9th.

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.

A client will need to complete a Brown County Child Care Program Basic Sliding Fee Education Plan and provide a current unofficial transcript and a copy of their school schedule to receive care for the school activity. Brown County requires the submitted plan to meet the following criteria:

1. The course needs to be from an accredited training institution.
2. Education or trainings programs should be realistic to the job market with provided documentation of job marketability. This also includes anticipated wages upon completion of the program. Documentation can be gathered from training institution or acceptable online sites such as Minnesotaworks.net or iseek.org.

3b. Identify the factors that contribute to the above criteria (for example: the availability of jobs where family resides or intends to reside, wage data, job placement rates in field of study).

An acceptable course of study is an education or training program which will lead to full-time employment with earnings higher than the current Federal Poverty Level income guidelines. Labor market findings is an indicator of job opportunity in the area and salary ranges for the requested course of study will be taken into consideration for approval of the Education Plan.

4. Changes to education plans outside an Employment Plan

4a. Do you have a different approval policy if a participant requests a change to their education plan? Yes No

B. Basic Sliding Fee Waiting List management

1. Priorities for service

Have you established sub-priorities for the fifth priority Basic Sliding Fee waiting list beyond those required in [Minnesota Statute, section 119B.03, subdivision 4](#)?

Yes No

2. 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.

When families have been on the waiting list for five months, DHS-7883C is mailed to the family requiring to be returned by <date + 30 days>. If the form is not returned in 30 days, we will remove their name from the BSF 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
- Six month review letter includes notification they will be removed from the waiting list if they don't respond
 - 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)

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?

We note on MEC2 Memo or Service Authorizations that hours will be increased for non-school days for parents and providers. The Child Care Specialist will audit and adjust each biweekly period that would require more hours than the typical service authorization shows. The billing worker is able to see the increase in the biweekly period and approve the increase.

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.

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

Comments will be added to the Service Authorization or MEC2 Memo noting how the child care hours are authorized, which are then sent to families and providers. All providers are given the DHS-5260 Minnesota Child Care Assistance Program Child Care Provider Guide which addresses how to bill for flexible schedules. Internally, the Child Care Specialist will audit and adjust each biweekly period that would require more hours than the typical service authorization shows. The billing worker is able to see the increase in the biweekly period and approve the increase.

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?

The CCAP worker obtains a copy of the employment plan. If the work schedule is noted in the plan, a service authorization is implemented and the CCAP worker follows up with obtaining a work schedule from the employer or attested by the employee.

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

We communicate by email, fax, phone, and hold monthly meetings. DHS-3165, DHS-3166, and DHS-2146 are utilized forms as well as employment services own employment verification 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

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.

When reports are received and screened in by Brown County Child Protection and meet imminent risk of harm to the health, safety, and rights of child(ren), the Provider's child care assistance authorization will be termination immediately.

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?

A screened-in child protection report would meet the imminent risk to health, safety, or rights of a child in care with a legal nonlicensed provider.

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.

Yes

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.

Child Care Specialists track Legal Non-licensed Child Care Providers within their caseloads, tracking open service authorizations with related and unrelated children. Child Care Specialists are also Child Care Licensors and track Legal Non-licensed Child Care Providers using PV101 CCAP Provider Renewal Report along with completing annual monitoring visits for LNL Providers that care for unrelated children.

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

Child Care Specialists are also Child Care Licensors and will be completing the LNL monitoring visits for LNL applicants.

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?

Another visit is set in 30 days. If the provider does not show compliance at the second monitoring visit, the CCAP provider's registration will be set to close with a 15-day notice.

- 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?

Records are kept in SSIS and the CCAP LNL provider's file complaint log and the LNL complaint binder.

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

We provide public complaint data from the LNL Complaint binder and follow 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?

Keep the reports in a complaint binder relating to LNL Providers along with having the information in SSIS and their provider file.

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.

Brown County child care specialists will approve bills submitted after 60 days of the service date when there is county error or county delay. Other bills submitted after 60 days will be referred to the Brown County Financial Supervisor for approval or denial. Bills will be approved that were submitted after 60 days of the service date under the following conditions: A) Provider's first and late submission, B) Provider medical reasons, or C) Provider's significant crisis. Recurring late submission after 60 days of the service date, more than two times in a calendar year, may be denied if it does not fit the criteria above.

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

2a. Child care assistance agencies can decide which providers are granted access to submit bills using MEC² PRO. How do you decide which providers are granted access?

We grant access to providers who complete the Brown County MEC² PRO billing training and to providers who have experience billing with MEC² PRO with another county

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

When providers are fraudulent or complete an Intentional Program Violation.

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

The provider signature is required on both paper and electronic billing forms.

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?

Payment may be authorized without parent signature if the provider has a documented attempt to obtain the signature without success or the Child Care Specialist documents reason why a parental signature is not on the billing form.

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.

An underpayment will be corrected if due to agency error going back no farther than the last redetermination completed. An underpayment will not be corrected when the family failed to report a change that would have resulted in a lower copayment.

E. Provider rates

Does your agency enter provider rates on MEC2? Yes No

How do you ensure that the rates billed by the provider are the same rates reported at registration? How are discrepancies resolved?

Child Care Specialists audit bills to determine that the rates billed on the CCA billing forms and MEC2 PRO bills are in agreement with the CCAP Provider's policy on file in the Agency.

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.

Brown County Income Maintenance Supervisor completed targeted CCAP case reviews. These cases are reviewed based upon a community complaint, appeal issue, quality control issue or fraud referral. The case is then thoroughly staffed by the IM supervisor and the CCAP worker with the addition on the fraud investigator, if necessary. The IM supervisor does have access to the MEC2 system. Brown County's accounting department is also involved in several aspects of the CCAP billing process. This provides a 3rd party review of CCAP provider payments. Child Care Specialists complete monthly peer reviews using DHS-5312D. Errors are resolved by requesting documentation needed and providing training for staff.

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.

Child Care Specialists conduct quarterly case reviews for CCAP registered providers. Providers are selected from CCAP provider report from BOBI report system. Form DHS-5312E is used for review. Errors are resolved by requesting documentation needed and providing training for provider and staff.

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](#))

If a family notes shared custody on the application and visitation schedule is not clear, the Child Care Specialists will require the CCA Shared Custody Schedule form be completed to ensure proper authorization of child care hours for the CCAP parent.

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
Brown County Human Services Child Care Assistance Program Basic Sliding Fee Education Plan	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New document - needs DHS approval
CCA Shared Custody Schedule Form	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New 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 MEC² User Guide.

County or tribe assures compliance

D. Child Care Assistance Program (CCAP) Funding

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

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

County or tribe assures compliance

E. Child Care Assistance Program (CCAP) Reporting

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

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

County or tribe assures compliance

F. Limited English Proficiency Plan

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

County or tribe assures compliance