

Administration of the Child Care Assistance Program

2022-2023 Scott 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.

Print Blank Form

IMPORTANT: If you are not able to complete this form online, click [Print Blank Form](#) to print the form and complete it by hand.

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 Scott | GENERAL PHONE NUMBER 952-496-8686 | EXTENSION | GENERAL FAX NUMBER 952-496-8685 |
| AGENCY'S FULL NAME Scott County Health and Human Services | | CCAP INTAKE PHONE NUMBER 952-496-8686 | EXTENSION |
| MAIN OFFICE STREET ADDRESS 200 4th Ave. W. | CITY Shakopee | ZIP CODE 55379 | |
| 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 | |

[Add branch](#)

C. Agency contact people

This contact information is required.

1. County or tribal director

| | | | | | |
|------------------------------|-----------|---|--|-------------------|--|
| FIRST NAME Pam | | LAST NAME Selvig | | | |
| PHONE NUMBER 952-496-8592 | EXTENSION | EMAIL ADDRESS pselvig@co.scott.mn.us | | | |
| ADDRESS 200 4th Ave. W. | | CITY Shakopee | | ZIP CODE 55379 | |

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 Deb | LAST NAME Greening | | |
| TITLE Eligibility Supervisor | PHONE NUMBER 952-496-8527 | EXTENSION | |
| EMAIL ADDRESS dgreening@co.scott.mn.us | SIR EMAIL ADDRESS x170570@CTY.STS.STATE.MN.US | | |
| ADDRESS 200 4th Ave. W. | CITY Shakopee | ZIP CODE 55379 | |

[Add contact person](#)

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 Gina | LAST NAME Flanigan | | | x |
| TITLE Child Care Assistance Specialist | PHONE NUMBER 952-496-8557 | EXTENSION | | |
| EMAIL ADDRESS gflanigan@co.scott.mn.us | SIR EMAIL ADDRESS X170699@CTY.DHS.STATE.MN.US | | | |
| ADDRESS 200 4th Ave. W. | CITY Shakopee | ZIP CODE 55379 | | |
| FIRST NAME Kelly | LAST NAME Gilb | | | x |
| TITLE Child Care Assistance Specialist | PHONE NUMBER 952-496-8539 | EXTENSION | | |
| EMAIL ADDRESS kgilb@co.scott.mn.us | SIR EMAIL ADDRESS X170711@CTY.DHS.STATE.MN.US | | | |
| ADDRESS 200 4th Ave. W. | CITY Shakopee | ZIP CODE 55379 | | |

[Add contact person](#)

4. Management of waiting list contact

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

| | | | |
|---|--|-----------|--|
| FIRST NAME Gina | LAST NAME Flanigan | | |
| TITLE Child Care Assistance Specialist | PHONE NUMBER 952-496-8557 | EXTENSION | |
| EMAIL ADDRESS gflanigan@co.scott.mn.us | SIR EMAIL ADDRESS X170699@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 Fabiola | LAST NAME Marks | | |
| TITLE Accounting Technician II | | PHONE NUMBER 952-496-8012 | EXTENSION |
| EMAIL ADDRESS fmarks@co.scott.mn.us | SIR EMAIL ADDRESS X170744@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 Kelly | LAST NAME Gilb | | |
| TITLE Child Care Assistance Specialist | | PHONE NUMBER 952-496-8539 | EXTENSION |
| EMAIL ADDRESS kgilb@co.scott.mn.us | SIR EMAIL ADDRESS X170711@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 Honor-Ra | LAST NAME Hanson Miller | | |
| TITLE Licensing Case Aide | | PHONE NUMBER 952-496-8572 | EXTENSION |
| EMAIL ADDRESS hhanson@co.scott.mn.us | SIR EMAIL ADDRESS | | |

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 Programs so that individuals, child care providers, social service agencies, etc. are aware of child care assistance? ([Minnesota Rules, part 3400.0140, subpart 2](#))

The following are just some ways that Information on the availability of the Child Care Assistance Program is provided to the public:

- We mail information to interested individuals as requested
- Child Care providers will refer clients to us and we would provide information/application
- Parent Aware and Think Small refer clients to us and we would provide information/application
- Social Service agencies will refer clients to us and we would provide information/application
- Brochures are handed out in the MFIP/DWP Orientation and in ES Overviews packets
- Employment Service agencies refer clients to us when Child Care Assistance is needed and we would provide information/applications
- Eligibility Specialists and Child Support Officers refer non cash assistance clients and we provide child care information/applications
- Colleges and technical schools refer clients to us and we would provide child care information or services
- Published articles or stories in the media, including TV, newspapers or newsletters can result in clients contacting us
- The Scott County Web site at www.scottcountymn.gov has some information on the Child Care Assistance Program and subprograms (computers are available for people who may not have them at Scott County libraries or the CareerForce Center)
- Social Media sites access by potential applicants
- Brochures are available at the Scott County CareerForce Center and/or Scott County Government Center
- Brochures have been made available at local functions, such as the Scott County Fair and other community and outreach events
- Scott County High Schools and or alternative schools refer clients to us and we would provide information/application
- New Beginnings program, an alternative school, that has both Scott and Carver County students refers clients to us and works with the client to complete the application process. They assist in helping them follow through. East Creek Child Care is the on-site child care for these students.
- CAP Agency refers clients to us for information (Crisis Nursery, WIC and Head Start programs are through CAP) and we would provide information/application
- Shakopee Mdewakanton Sioux Community will refer people to us that may need assistance with child care and we would provide information/application

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\(1\)](#))

The Scott County Child Care Assistance Program works with our child care providers; South-West Metro Intermediate District 288 (East Creek Child Care); the CAP Agency which includes Crisis Nursery, Head Start and the WIC programs; other Scott County Health & Human Services departments (including but not limited to Employment Services, licensing, and Public Health); Parent Aware; Think Small; Shakopee Mdewakanton Sioux Community and other advisory groups to coordinate the Child Care Assistance Program with other programs in the county and surrounding area.

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.

We work closely with other service providers and we refer between agencies to determine program availability based on funding. With a signed release of information we may be able to share information and best serve the citizens of Scott County. Crisis Nursery is a resource that we may work closely with.

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.

This plan is placed on the Scott County website at <http://www.scottcountymn.gov/> for review and comment from the public or others prior to submission to the State for approval. A notice is put on the Scott County Facebook site, Twitter and Next Door that the plan would be available for review. A copy of the plan can also be provided when requested from the Child Care Assistance Program supervisor.

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

It was available on the website or by request of the CCAP supervisor the end of August until it was submitted.

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

If no, what program(s) would you deny?

Scott County would deny any program that is not approved by the Minnesota Department of Education. This denial would be communicated to the parent by sending the CCAP - 090.

1b. Explain why you would deny a program. Include data and facts that support why students should not receive CCAP while attending.

The Tests of General Educational Development developed by the GED Testing Service® often require extensive preparation in order to demonstrate the high level of high school knowledge and academic skills needed to pass. Tests are administered only at Pearson VUE® Testing Centers under the direction of Pearson VUE® and the GED Testing Service. Any other GED diploma or "high school equivalency certificate based solely on the GED" not issued by the Minnesota Department of Education may not be accepted by employers, colleges and universities or the military.

An education program for High School or GED courses may be denied if there is no verification to indicate that the student is enrolled in an approved education program when submitting an education request.

We will ask the parent to complete the Scott County Child Care Assistance Program High School Questionnaire CCAP-096 to obtain information about the parent attending, as required.

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

If no, what program(s) would you deny?

An education program for remedial and basic skills courses will be denied if the program is not accredited or

approved through the Minnesota Literacy Council or Minnesota Department of Education. ESL programs would also be denied if the student is above the Spoken Language Proficiency level of 6.

An education program for remedial and basic skills courses will be denied if there is no verification to indicate that the student is enrolled in an approved education program when submitting an education request.

The student and the school representative will be asked to complete the CCAP #092, Scott County Child Care Assistance Program ESL Questionnaire, to assist in this determination.

2b. Explain why you would deny a program. Include data and facts that support why students should not receive CCAP while attending.

Without verification of being enrolled in an approved education program the parent has not verified that they are working towards increasing skills to become employable.

ESL programs would be denied if the student is above the Spoke Language Proficiency level of 6 because the student has enough spoken language to be employable per MFIP ES policies. An ESL program would be denied if they failed to verify their Spoken Language Proficiency level as determined by the education program.

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.

The student must complete the Scott County CCAP Education Packet. The education packet includes Questionnaire (CCAP - 089). As part of the education packet, the student must provide labor market information including at least two(2) sources of job leads in the area of study. Once the packet of information provided by the client has been reviewed and approved. CCAP workers will request proof of making satisfactory progress as determined by the institution at redetermination. The plan will be denied/terminated at redetermination if not making satisfactory progress as determined by the institution.

Specific criteria for approval are:

The training must lead to a specific full-time occupation

The program you have chosen to pursue will lead to an anticipated starting wage of 125% of your current earnings

There must be jobs available in the field for which the individual is considering training

The training program must be completed in a reasonable time frame as determined by the school

The student must be enrolled and attending college level courses

The school must be recognized by the Minnesota Department of Education .

If the education plan is denied, the client will be sent a notice (CCAP - 090)

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).

We want to make sure there are jobs available in the area of study; that they can make a living wage after graduation. It is our hope that with the client completing the education packet of information, they will be looking at the occupation they are considering to see if it will allow them to find a job that will increase self-sufficiency and employability. Our goal is to help those who aren't able to find or retain employment at a livable wage, the hope is that after they graduate they are more marketable and can find a job earning that has earning potential of at least 125% more than earnings before training and education.

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 third 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 we have a waiting list, families are sent a letter (CCAP #075) to provide current household information. The family is given a time line to complete and return the form. The letter notifies them that failure to respond with the requested information and within the time lines given will result in removal of their name 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
- 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.
 - The family is sent DHS-7883C (Child Care Assistance Program (CCAP) funds available)
 - The family is sent a notice developed by our agency (list this notice in section X.B Agency developed documents)
- 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

If yes, identify the additional length of time and what conditions must exist to extend the 90 days.

Scott County will allow pregnant persons to remain at the top of the wait list as temporarily ineligible for up to 90 days past the date of birth of their child. The family needs to contact the county agency regarding the waiting list within 90 days of the birth of the child. If funds are available when the parent contacts the county, the client will be sent an application. If funds are not available when the parent contacts the county, the parent will remain at the top of the wait list until funds become available. Failure to contact the county within 90 days of the birth will result in removal of their name from the list and they will have to request to be added back on the wait list on a current eligibility determination and priority category.

C. Child care for school release days

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

CCAP Policy Manual,
Chapter 9.1.3

- Authorize actual hours needed and increase or decrease hours based on known school release days.
- Authorize the hours care is needed when there are no school release days.
- Authorize the highest number of hours care is needed with the provider.
- Other method.

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

There may be comments added to forms or notices and/or contact with clients and/or providers.

D. Child care for families with flexible schedules

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

CCAP Policy Manual,
Chapter 9.1.6

- Authorize the typical number of hours needed and when the schedule requires additional care, the provider bills for the additional care.
- Authorize the minimum number of hours care is needed and when the schedule requires additional care, the provider bills for the additional care. Payment is made by increasing the number of hours listed in the "total hours of care authorized" field on the billing window or by creating a new Service Authorization.
- Authorize the highest number of hours care is needed with the provider. The provider is expected to bill only for the time that care is needed.
- Other method.

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

There may be comments added to forms or notices and/or contact with clients and/or providers.

E. Authorizing care for clients with Employment Plans

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

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

- Job counselor provides schedule or days and times that child care is needed to CCAP worker.
- CCAP worker obtains schedule from client.
- Other method.

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

We are co-located with our Employment Service staff and Eligibility Specialists this results in good communication. We communicate in many ways; we use email, status updates, and verbal communication. There is one supervisor over the family cash Eligibility Specialist and the CCAP workers, this helps foster regular and consistent communication. We have a monthly MFIP team (ES, IM and CCAP) meeting, at which time case reviews and policy discussion takes place.

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

1a. Identify the reason(s) you may extend redetermination dates beyond 12 months.

The agency may extend redetermination dates beyond 12 months based on CCAP policy and as a way to balance out our workloads.

1b. Describe your process for extending redetermination dates beyond 12 months to ensure equitable service delivery among similar cases.

Scott County would not do this often, but if it is used to balance workloads, the cases for a specific month would all be looked at and could potentially all be extended; this would result in equitable service to all potential cases.

Redetermination dates will not be adjusted on cases where the redetermination form was sent to the client in the last 45 days.

Redetermination dates will not be adjusted on cases with an overpayment in recoupment status for failing to report a change.

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, revocation, or decertification (this occurs when providers are appealing the revocation, suspension, or decertification).

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 or certification statuses 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

Certified centers operating after receiving an order of decertification? Yes No

When implementing clause 4, you have the option to use MEC² 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? MEC² 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.

- 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.

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.

No change in Scott County provider clauses with this new plan. All current providers have received the CCAP-083 notifying them of this information and the CCAP-083 is part of our CCAP provider packet that all new providers receive.

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.

No additional conditions.

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?

- Access to hazardous materials
- Unsecured weapons present in the home
- We would work with our Licensing team to help us in making a determination of imminent risk. In working with licensing, we would look at MN Statute 245A.15 Regulation of Family Day Care by Local Government and look at:
 - o a maltreatment report/investigation on the caregiver
 - o new background study information from the Net Study 2 system on the caregiver
 - o significant change in caregiver's health status
 - o unsafe sleep practices/environment for infants

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.

Our agency has very few if any LNL providers that are providing care for non related children; the CCAP workers know and track the few that we have. We monitor the reports sent by the State. We notify and share reports with our Licensing team/monitoring contact.

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

We have an agreement with the Licensing team that the Licensing Case Aide will be our monitoring contact as she has access to NET Study 2.0. This Case Aide will also be doing the monitoring visits for Scott County LNL providers. When a provider is due for a monitoring visit, the CCAP worker will send a packet of information to the provider prior to the monitoring visit; this packet includes CCAP-093 and other necessary forms. The Licensing Case Aide will schedule and complete the monitoring visit after being notified that the packet has been sent to the provider.

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

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

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

The provider must come into compliance with issues discovered during a monitoring visit within 30 days. There will be one additional monitoring visit for re-inspection. The monitoring checklist will be used to determine compliance at future visits. Reregistration may be necessary for the provider.

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?

If a complaint is substantiated it is documented and may be made available to the public upon request through the Child Care Assistance Program supervisor. The supervisor may then contact the County Attorney's office for direction on how to proceed with any requests.

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

The complaint may be made available to the public upon request through the Child Care Assistance Program supervisor. The supervisor may then contact the County Attorney's office for direction on how to proceed with any requests.

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?

If an incident occurs it is documented. The CCAP supervisor may contact the County Attorney's office for direction on how to proceed with any requests for this information.

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.

Scott County's definition of good cause is:

1. The provider has contacted the County concerning the particular billing forms and the provider is working to resolve the issue (parental signature, verification of dates, etc.)
2. A county error resulted in the delay of bill submission
3. If the billing form was "lost" in the mail but reported within 60 days of the last day of the service on the bill, a new billing form can be issued but must be submitted within 30 days.

4. Payments made after 60 days must have supervisor approval

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?

New registered providers, not registered in other Minnesota counties, will be required to use paper billing forms for a year.
Providers who have shown that they can complete and submit accurate billing forms for a year will be allowed to submit billing forms through PRO.
Scott County CCAP would request a sample of the attendance forms being used by the facility. If all required information is included on the attendance forms, and there have been no provider errors in billing with the paper billing forms, the provider will be approved to use PRO.

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

When it is discovered that a provider is not keeping daily attendance records true to the days and times each child arrives and leaves the center, dates of service, child's full name, sign in and out times and includes the name of the person dropping off and picking up the child.
A provider that's out of compliance with the Provider compliance policies under clause 1, 2 and 4 may have MEC² PRO access denied or removed.
Questionable or inaccurate requests for payments with a possible fraud intent may result in revocation of the provider's MEC² PRO access. If fraud is not determined, PRO access may be reinstated.

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

Provider signatures are always required on paper billing forms. Scott County requires the provider to sign the billing forms with a full signature including First and Last name of the person responsible for billing. The provider signature is submitted electronically on MEC PRO. Scott County considers the submission of a bill the equivalent of the provider's signature.

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?

In rare circumstances, the parent's signature may be waived by the Child Care Assistance Specialist if the provider has made unsuccessful attempts to contact the parent and the parent's signature cannot be obtained. The provider would need to let the Child Care Assistance Specialist know why the signature is not available.
OR
When the provider is using MEC² PRO - the parents signature will be required on the attendance logs.

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.

Policy indicates the County may decide to correct an underpayment. Scott County may determine underpayments and go back to make corrections up to 30 days from the discovery date.
We will look at the following if they cause underpayments

Provider billing errors
Agency errors or data entry errors

E. Provider rates

Does your agency enter provider rates on MEC²? Yes No

F. Absent day policy

The Child Care Assistance Program limits the number of paid absent days for licensed child care providers and certified license-exempt centers. Payment may exceed absent day limit at the request of the provider and with the approval of the county or tribe, if at least one parent in the family:

Minnesota Statute,
section 119B.13,
subdivision 7

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

Do you have any registered child care providers that meet these requirements? Yes No

List the providers and provide the following information:

| Provider name | License or certification number | How does provider document the services they provide? | How are these requests reviewed by your county/tribe? |
|-----------------------|---------------------------------|---|--|
| East Creek Child Care | 3682 | The New Beginnings program, along with East Creek Child Care, the on-site child care center, continues to satisfy the criteria under CCAP policy for the absent day policy that allows them to exceed the absent day limit. | The requests are reviewed by the Supervisor and CCAP workers to determine if the MN Statute and CCAP policy are met. |
| | | | <i>Add provider</i> |

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.

Here is our Standard Operating Procedure for CCAP Case Reviews:

Objective: This procedure was originally put in place in 2008. The purpose of this procedure is to complete peer reviews of Child Care Assistance Program cases with the purpose of preventing errors and assuring correct benefits are issued to child care providers on the client's behalf. A form was developed for this case review process (CCAP #078)

Goal: We will attempt to review up to 6 cases each month. We will review both MFIP and BSF Child Care program cases. This procedure may be suspended for a time, as determined by the supervisor (this could be due to staffing changes or system/program changes or for other potential reasons).

Procedure: We will complete the reviews as follows using form CCAP #078

***Three cases/worker will be reviewed each month - one MFIP, one TY and one BSF

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

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](#))

Scott County will require the signature of both parents of an intact family on the application/redetermination forms. This will ensure that both parents have received and reviewed the rights and responsibilities for the programs.

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 | |
|---|---|---|---|
| Basic Sliding Fee Waiting List Letter (CCAP-075) | <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 | x |
| CCAP Case Review form (CCAP -078) | <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 | x |
| Scott County CCAP Education Questionnaire (CCAP-089) | <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 | x |
| Denial of Your Education Plan under CCAP (CCAP - 090) | <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 | x |
| Scott County CCAP ESL Questionnaire (CCAP-092) | <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 | x |
| LNL Home Monitoring Cover Letter (CCAP- 093) | <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 | x |

| Name of agency developed document | Document reflects current CCAP policy | Status of current document |
|---|---|---|
| Scott County Child Care Assistance Program High School/GED Questionnaire (CCP -096) | <input checked="" type="checkbox"/> Agency assures compliance | <input type="checkbox"/> DHS previously approved - no changes <input type="checkbox"/> DHS previously approved - revised and needs DHS approval <input checked="" type="checkbox"/> New document - needs DHS approval |
| CCAP-083 Scott County Notice to Child Care Providers | <input type="checkbox"/> Agency assures compliance | <input type="checkbox"/> DHS previously approved - no changes <input checked="" type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New document - needs DHS approval |

Add form

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

SUBMIT BY EMAIL