

Administration of the Child Care Assistance Program

2024-2025 Dakota 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, 2024.

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 and 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 15, 2023)

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 15, 2023** 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 Dakota	GENERAL PHONE NUMBER 651-554-5611	EXTENSION	GENERAL FAX NUMBER 651-554-5748
AGENCY'S FULL NAME Dakota County Employment & Economic Assistance		CCAP INTAKE PHONE NUMBER 651-554-5611	EXTENSION
MAIN OFFICE STREET ADDRESS 1 Mendota Road West, Suite 100		CITY W. St. Paul	ZIP CODE 55118
MAIN OFFICE MAILING ADDRESS (if different)		CITY	ZIP CODE

B. County or tribal branch office (if applicable)

BRANCH NAME	GENERAL PHONE NUMBER	EXTENSION	GENERAL FAX NUMBER	CCAP INTAKE PHONE NUMBER	EXTENSION
ADDRESS OF BRANCH OFFICE			CITY	ZIP CODE	

C. Agency contact people

This contact information is required.

1. County or tribal director

FIRST NAME Tiffinie		LAST NAME Miller	
PHONE NUMBER 651-554-5610	EXTENSION	EMAIL ADDRESS Tiffinie.Miller@co.dakota.mn.us	
ADDRESS 1 Mendota Road West, Suite 100		CITY W. St. Paul	ZIP CODE 55118

2. County or tribal CCAP administrative contact

Who is your lead 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 Tiffinie		LAST NAME Miller	
TITLE Deputy Director of E&EA		PHONE NUMBER 651-554-5610	EXTENSION
EMAIL ADDRESS Tiffinie.Miller@co.dakota.mn.us		SIR EMAIL ADDRESS X1195B3@cty.dhs.state.mn.us	

FIRST NAME Sheng	LAST NAME Thor		
TITLE Programs Operations Manager	PHONE NUMBER 651-554-5728	EXTENSION	
EMAIL ADDRESS Sheng.Thor@co.dakota.mn.us	SIR EMAIL ADDRESS x119ST2@CTY.DHS.STATE.MN.US		
FIRST NAME Kim	LAST NAME Pederson		
TITLE Program Supervisor	PHONE NUMBER 651-554-5668	EXTENSION	
EMAIL ADDRESS Kim.Pederson@co.dakota.mn.us	SIR EMAIL ADDRESS X119680@cty.dhs.state.mn.us		
FIRST NAME Terra	LAST NAME Shuman		
TITLE Program Supervisor	PHONE NUMBER 651-554-5721	EXTENSION	
EMAIL ADDRESS Terra.Shuman@co.dakota.mn.us	SIR EMAIL ADDRESS x119TMS@cty.dhs.mn.us		
FIRST NAME Hoang	LAST NAME Ton		
TITLE Administration Support Supervisor	PHONE NUMBER 651-554-5647	EXTENSION	
EMAIL ADDRESS Hoang.Ton@CO.DAKOTA.MN.US	SIR EMAIL ADDRESS X119HTT@cty.dhs.state.mn.us		

3. County or tribal client access contact

Who is your lead contact person who has contact with families receiving CCAP? You may have more than one client access contact.

FIRST NAME Kim	LAST NAME Pederson		
TITLE Program Supervisor	PHONE NUMBER 651-554-5668	EXTENSION	
EMAIL ADDRESS Kim.Pederson@co.dakota.mn.us	SIR EMAIL ADDRESS X119680@cty.dhs.state.mn.us		
FIRST NAME Terra	LAST NAME Shuman		
TITLE Program Supervisor	PHONE NUMBER 651-554-5721	EXTENSION	
EMAIL ADDRESS Terra.Shuman@co.dakota.mn.us	SIR EMAIL ADDRESS X119HTT@cty.dhs.state.mn.us		

FIRST NAME Patricia	LAST NAME Sikich		
TITLE Program Trainer Specialist - Lead	PHONE NUMBER 651-554-5719	EXTENSION	
EMAIL ADDRESS Patricia.Sikich@co.dakota.mn.us	SIR EMAIL ADDRESS X119816@cty.dhs.state.mn.us		
FIRST NAME Christa	LAST NAME Hendrickson		
TITLE Program Trainer Specialist - Lead	PHONE NUMBER 651-554-5943	EXTENSION	
EMAIL ADDRESS Christa.Hendrickson@co.dakota.mn.us	SIR EMAIL ADDRESS x11942u@cty.dhs.state.mn.us		
FIRST NAME Beth	LAST NAME Staberg		
TITLE Program Administrative Assistant	PHONE NUMBER 651-554-5712	EXTENSION	
EMAIL ADDRESS Beth.Staberg@co.dakota.mn.us	SIR EMAIL ADDRESS X119020@cty.dhs.state.mn.us		

4. Management of waiting list contact

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

FIRST NAME Kimberly	LAST NAME Solberg		
TITLE Senior Program Associate	PHONE NUMBER 651-554-5764	EXTENSION	
EMAIL ADDRESS Kimberly.Solberg@CO.DAKOTA.MN.US	SIR EMAIL ADDRESS x119142@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 Kim	LAST NAME Williams		
TITLE Senior Program Associate	PHONE NUMBER 651-554-5635	EXTENSION	
EMAIL ADDRESS Kimberly.Williams@co.dakota.mn.us	SIR EMAIL ADDRESS x1194KW@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 Kimberly	LAST NAME Solberg		
TITLE Senior Program Associate		PHONE NUMBER 651-554-5764	EXTENSION
EMAIL ADDRESS Kimberly.Solberg@CO.DAKOTA.MN.US		SIR EMAIL ADDRESS x119142@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 Demetria	LAST NAME Costa		
TITLE Social Worker - Child Care Licensing		PHONE NUMBER 952-891-7485	EXTENSION
EMAIL ADDRESS Demetria.Costa@co.dakota.mn.us		SIR EMAIL ADDRESS N/A	

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)

The county coordinates with the licensing unit, social services, public health and local non-profit agencies to keep staff informed of child care assistance. Child care assistance program information is posted on our general county website. Information is provided to clients applying for or inquiring about public assistance programs and/or CCAP. General emails and/or phone calls come into the county from other departments or clients.

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))

Dakota County promotes teen parent programming with Social Services and Public Health. We coordinate with Families First, Think Small, Child Care Aware MN and Dakota County Social Services Licensing for referrals for parents seeking help finding a childcare provider in their area.

We publish a newsletter to providers to keep them informed of licensing issues, trainings, subsidy programs in our county, such as: MFIP, DWP, MA and METS to provide good customer service.

We have a CareerForce Center to provide access to employment resources and other services available to parents working towards stability and self-sufficiency.

Financial Worker Supervisors and Financial Workers share program information about Early Learning Scholarships for our community partner, Families First of MN. (www.familiesfirstmn.org/888-450-2773).

Supervisors participate in metro county meetings to share ideas and exchange information with other counties and Think Small.

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.

Collaboration centered around service connection and service integration a key component of Dakota County's approach to supporting the healthy development of young children. The Dakota County E-New Community Resources and Events subscription email newsletter provides information on both county and community based resources available to Dakota County residents. There are currently 1000 external subscribers in addition to the 1000 Community Service staff who receive these updates.

Dakota County also maintains an Early Childhood Resources Directory in English and in Spanish, it is posted on the Dakota County website. Dakota County maintains two Early Childhood Collaboratives which include the Dakota County Interagency Early Intervention Council (IEIC) focused on young children with special needs including mental health conditions, and the Birth to 8, a partnership with four school districts aimed to achieve grade level reading by 3rd grade. The collaboratives include members representing 9 school district early childhood programs, Head Start, Public Health Home Visiting, Early Childhood Mental Health Providers, Child Care Aware Coordinators, Clinic Care Coordinators and Dakota County Social Services programs.

The Dakota County IEIC hosts an annual service coordination training for community stakeholders on the continuum of early childhood supports for children. Dakota County Children and Family Services maintains an early childhood screening program that provides developmental and mental health screening and connection to early childhood programs including Early Learning Scholarships for children involved in child protection services. Dakota County participated in community events providing Help Me Grow and Help Me Connect information to help families navigate early childhood services available in their community.

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 draft plan was posted on our external website and we have provided who to contact with questions/comments.

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

Our draft plan was posted on our external website on 7/18/23.

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?

Programs that would be denied include education institutions not approved by the MN Department of Education and if the education activity will not reasonably lead to completion of a high school diploma or GED high school equivalence diploma.

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

Dakota County will verify if the program is accredited by the MN Department of Education and if the program will reasonably lead to completion of a high school diploma or GED high school equivalence diploma. If these criteria are not met, the request will be denied.

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?

Dakota County will deny an education program for remedial and basic skills courses if the program is not accredited through the Minnesota Literacy Council or Minnesota Department of Education.

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

Dakota County will verify if the program is accredited through the Minnesota Literacy Council or Minnesota Department of Education. If the program is not accredited, the request will be denied.

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.

Client is required to complete a Request for Training- EDAK 3017 and provide supporting documentation. The participant must meet requirements for admission. The institution must be registered and licensed to operate in the state of MN. (See www.ohe.state.mn.us if the status is questionable) The institution and educational program must be accredited in the state of MN. Verification required if information is questionable. (See <http://ope.ed.gov/accreditation> for a list of recognized accrediting agencies). For educational programs outside of MN, the institution must be accredited by the state that the school is in. If the education plan is denied, the parent will be notified using EDAK 3783 BSF Training Request Denial and if the plan is approved, the parent will be notified using EDAK 3108 BSF Post Secondary Training Approval.

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).

Dakota County will verify the school and program are accredited in the state of Minnesota.

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?

Yes No

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

3a: Families requesting care to maintain employment or job search.

3b: Families requesting care to attend post-secondary education.

Dakota County's rationale is to prioritize employment over education for Basic Sliding Fee Child Care Assistance.

2. When adding a family to your Basic Sliding Fee 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)

3b. 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.

Dakota County has an automated system to track clients on our BSF waiting list. Each month we send out a six-month review letter (EDAK 3903 & 3673) to families that have been on the BSF waiting list for six months. The EDAK 3903 is updated annually with current income guidelines. This six-month review letter informs them that they need to respond by the end of that calendar month or their name will be removed from the waiting list. If the information is returned with a forwarding address, we update our address for them in our records, and forward the six-month review letter to the new address. For all families that return the six-month review letter timely, they remain on the BSF waiting list for another six months. We do not remove the family from the waiting list based on income. They are removed only if they fail to respond to the the letter.

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

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

4. Applications mailed to families on the Basic Sliding Fee Waiting List

Applications must be sent to families on the waiting list when there is funding available for Basic Sliding Fee.

4a. 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.

4b. How do you notify a family that their name was 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)

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
3400.0065, subpart 3

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.

Pregnant Woman:

In some situations, a client's name may come to the top of the waiting list before the client is ready to use child care. This happens most often with a pregnant woman who has been on the list for several months, but whose baby is not yet born.

In these situations, the client will be allowed to remain at the top of the list until the baby is born and child care is needed. However, the client must be told that it is her responsibility to inform the county of her continuing need to remain on the list. The client should be informed that if she receives correspondence from the county informing her that funding is available, she must respond timely or her name will be removed from the list.

Since there may be times when the county has no waiting list and clients may walk in any day to apply for child care assistance, the client will not receive notification from the waiting list to inquire of continuing need. The client must be informed to contact the county when the baby is born and child care is needed.

Students:

If a client is a full-time student but unable to verify student status at the time of their application and there is no other activity the application will be denied. They will be placed back on the BSF waiting list in the same position they were in when they applied until funds become available to re-apply.

Note: If a student verifies student status but isn't actually attending classes at the application period the application can be approved but on a suspension status until agency receives school schedule and start date for classes.

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.

How do you authorize child care for school release days?

For children who need care only on school release days, the financial worker will authorize 1 hour biweekly for that child. In doing this, a billing form will be generated for the provider so that billing can be completed. A case note is required to explain the number of hours needed on school release days for that child.

For children needing care on a daily basis, care is authorized as needed during school days. Comments are added to the authorization notices to inform the client & provider of authorized hours for non-school days. Information is also case noted.

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

The financial worker adds comments to the service authorization notice to inform the client and provider. Case notes are entered so billing workers are aware of school release/summer hours.

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?

The financial worker adds comments to the service authorization notice to inform the client and provider. For example: typical work hours are ___ and authorization could be used up to ___ (max hours needed). Case notes are entered so billing workers are aware of the typical work hours and authorization.

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?

If the job counselor has documented the schedule in the employment plan to authorize child care, we use that. If there is no schedule in the employment plan, the financial worker will request documentation of the schedule from the client. Comments are added to the authorization notices if clarification is needed for the client and provider.

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

Financial workers and employment counselors are co-located, which makes communication more efficient. The job counselor and CCAP financial worker communicate through various methods. They use status update forms, email, exchange copies of the employment plan and some verbal communication.

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](#) and [Minnesota Rules, part 3400.0180, subpart 1](#).

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.

Child Care reviews may be extended past 12 months to even out the Financial Worker workload and allow staff to provide better customer service. We will not extended a CCAP review past 18 months.

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

We will run a report to identify heavy CCAP review months and randomly select cases to extend out. When possible, we will match the CCAP review date with the MFIP or SNAP review date. We will not move dates if the CCAP review notice was already sent out to the family. We will enter a case note to identify that the review date has been moved.

IV. Provider compliance policies

A. Reasons for closing a provider's registration

[Minnesota Statutes, section 119B.13, subdivision 6\(d\)](#) allows counties, tribes, and the Department of Human Services 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).

NOTE: DHS Office of Inspector General (OIG) staff handle statewide implementation of clause 4 for licensed and certified child care centers. Counties and tribes may choose to implement this clause for licensed family child care providers registered within their agency.

If you choose to implement clause 4, DHS will send you a list once a month to inform you of licensed family child care 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 statuses are subject to this clause?

Licensed family child care providers with a suspended license? Yes No

Licensed family child care providers with a revoked license? Yes No

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

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

We will obtain a signed affidavit (EDAK 3918) from the CCAP provider attesting to their compliance going forward.

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

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

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

When implementing this clause, some agencies choose to issue a warning letter for the first occurrence, and some agencies choose to use escalating consequences.

For example:

First violation – written warning; second violation – one month; third violation – two months; any subsequent violation – three months.

First violation – one month; second violation – two months; third or subsequent violation – three months.

If your agency chooses to do a written warning, add the warning notice to Section X.B and submit with your plan for approval.

The provider will serve a 30, 60 or 90 day suspension once compliance has been established. First violation: 30 days, Second violation: 60 days, Third violation - 90 days. Once it is determined that a provider has complied with CCAP policy, and the provider has served their penalty period, the provider must complete new registration paperwork and register.

Dakota County will always require providers to complete a full registration packet after their registration has been closed under 119B.13 subd 6(d).

Dakota County will not make retro payments for the period of time a provider was ineligible to receive payment for being closed under 119B.13 subd 6(d).

Dakota County will close a provider utilizing another counties evidence for closing under clauses 5 & 6 under a preponderance of evidence.

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

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

We will obtain a signed affidavit (EDAK 3920) from the CCAP provider attesting to their compliance going forward.

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

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

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

When implementing this clause, some agencies choose to issue a warning letter for the first occurrence, and some agencies choose to use escalating consequences.

For example:

First violation – written warning; second violation – one month; third violation – two months; any subsequent violation – three months.

First violation – one month; second violation – two months; third or subsequent violation – three months.

If your agency chooses to do a written warning, add the warning notice to Section X.B and submit with your plan for approval.

The provider will serve a 30, 60 or 90 day suspension once compliance has been established. First violation: 30 days, Second violation: 60 days, Third violation - 90 days. Once it is determined that a provider has complied with CCAP policy, and the provider has served their penalty period, the provider must complete new registration paperwork and register.

Dakota County will always require providers to complete a full registration packet after their registration has been closed under 119B.13 subd 6(d).

Dakota County will not make retro payments for the period of time a provider was ineligible to receive payment for being closed under 119B.13 subd 6(d).

Dakota County will close a provider utilizing another counties evidence for closing under clauses 5 & 6 under a preponderance of evidence.

- 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.

V. Unsafe care

A. Unsafe care

An agency may deny authorization as a child care provider 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.

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: 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.

For reasons which reflect on the provider's ability to give care, the follow reasons may be considered conditions of unsafe care. If a provider has:

Drugs/Weapons

- a felony level conviction within the past 15 years involving the use, dissemination, sale or possession of alcohol, drugs or other controlled substances or the conspiracy to do the same; or
- documentation or other credible evidence of the presence of a methamphetamine lab in the provider's residence within the past seven years; or
- documentation or other credible evidence that the person abuses prescription drugs or uses controlled substances as specified in Minnesota Statutes, Chapter 152, or alcohol, to the extent that the use or abuse has or may have a negative effect on the ability of the provider to give care or is apparent during the hours children are in care. Any such person must have 12 consecutive months of verified abstinence before authorization as a legal non-licensed provider; or
- documentation or other credible evidence of weapons, ammunition or illegal drugs which may have been or accessible to children in the residence within the past seven years; or

Child Endangerment/Involvement with Child Protection

- loss of parental rights to a child of the provider, or has been the subject of an order involuntarily transferring permanent legal and physical custody , or voluntary or court ordered placement of a provider's child out of the provider's home within the past two years for reasons which reflect on the provider's ability to provide care, or documentation or other credible evidence of recurring child neglect by the provider, other than educational neglect, within the last seven years; or has received child protection services within the past five years, not including Family Assessment services; and the review of the record and assessments of the child protection staff assigned to the case

provide a preponderance of evidence that the provider is unsafe or the circumstances of the child care arrangement are unsafe; or

- subjected a child to egregious harm as defined by Minn. Stat. ' 260C.007, subd. 14; or

Property Violations/Safety Issues

- dangerous, uncontrolled animals on the provider's property or in the provider's residence.
- compliance violations with State or local health or building code regulations such that, in the opinion of the County, the health or safety of children in the residence could be in jeopardy; or
- substantially unsanitary conditions in the provider's home (i.e., such as clutter that inhibits free movement in the home, un-disposed pet or other urine or feces, uncontained garbage, etc.) within the past five years; or

Criminal Justice Involvement/Dangerous Behaviors

- involuntary judicial commitment of the provider within the past two years; or
- documentation or other credible evidence of repeated incidents of violent behavior within the past seven years; or
- documentation or other credible evidence of illegal activities in the provider's residence or by the person which may place a child in a harmful situation (i.e., prostitution, illegal drug sales or use, etc.); or
- the presence of a known sex offender residing in the home where the child care is provided or who has access to the children; or

Property Violations/Safety Issues

- dangerous, uncontrolled animals on the provider's property or in the provider's residence.
- compliance violations with State or local health or building code regulations such that, in the opinion of the County, the health or safety of children in the residence could be in jeopardy; or
- substantially unsanitary conditions in the provider's home (i.e., such as clutter that inhibits free movement in the home, un-disposed pet or other urine or feces, uncontained garbage, etc.) within the past five years; or

Criminal Justice Involvement/Dangerous Behaviors

- involuntary judicial commitment of the provider within the past two years; or
- documentation or other credible evidence of repeated incidents of violent behavior within the past seven years; or
- documentation or other credible evidence of illegal activities in the provider's residence or by the person which may place a child in a harmful situation (i.e., prostitution, illegal drug sales or use, etc.); or
- the presence of a known sex offender residing in the home where the child care is provided or who has access to the children; or

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

These conditions apply to all provider types.

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 13, clause D](#).

2a. Of the unsafe care conditions listed in V.A.1, what conditions does your agency recognize as imminent risk? These conditions would result in immediate termination of child care.

If known to the agency, through complaint by parent/family member/public, it would go through the intake process in Children and Family Services. It may or may not be known that it is a legal nonlicensed provider.

Imminent risk danger to health and safety or rights of a child in care means that a child is threatened with immediate and present maltreatment that is life threatening or likely to result in abandonment, sexual abuse, or serious physical injury. [Minn. Admin. Rule 9560.0214, subp. 12]: and/or lack of supervision, unsafe sanitary or living conditions.

1. Police have responded to the home, made a determination that the children need to be taken into custody due to imminent risk of danger to their health and safety.

2. Child Protection Social Services have investigated the legal non-licensed provider and determined that the children have been found to be at imminent risk of danger and need to be removed for their health and safety.

2b. Of the conditions listed in V.A.2a, do these conditions apply to legal nonlicensed providers, certified license exempt centers and providers licensed by an entity other than the state of Minnesota?

Yes No

VI. Policies applicable to legal nonlicensed providers

A. Annual monitoring and training

Any legal nonlicensed provider with an open Service Authorization for a child who is not related to them must complete Supervising for Safety training within 90 days of the authorization start date and have an annual monitoring visit within 12 months of the authorization start date.

See [CCAP Policy Manual Chapter 11.9](#) and Minnesota Rules, part [3400.0020, subpart 37a](#) and [3400.0120, subparts 6 and 9](#).

1. How does your agency track legal nonlicensed providers who have an open Service Authorization for unrelated children? Note: To assist agencies, DHS sends a list of legal nonlicensed providers that have open Service Authorizations with unrelated children. Agencies must also take steps to track all providers who need training or an annual monitoring visit.

All legal nonlicensed providers are tracked on a spreadsheet. Spreadsheet includes date that unrelated child Service Authorization began, due date for Supervising for Safety training, and due date of annual monitoring visit. Spreadsheet is checked every month to determine if training or an annual monitoring visit is due.

Other _____

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

- Agency contacts the provider at least 30 days prior to the date the annual monitoring visit is due. Agency schedules a time to visit. Agency visits the provider and reviews the Legal Nonlicensed Provider Monitoring Checklist (DHS-7867) with the provider. Agency updates provider record in MEC² with the visit date. Agency submits the Monitoring Visit Summary (DHS-7867A) to DHS.
- Other _____

Note: See CCAP Policy Manual 11.9.18 for the process that agencies must follow when a provider does not demonstrate full compliance with the health and safety policies at the monitoring visit.

3. If a legal nonlicensed provider's registration closes due to not showing compliance with an annual monitoring visit, under what conditions can they receive CCAP payments in the future? See **Minnesota Rules, part 3400.0120, subpart 9.**

- Only if the provider is licensed
 - The provider must show compliance with:
 - Written documentation if there were factors during the initial visit that can be demonstrated by submitting written documentation, such as proof of purchase for items required to ensure safety of children in care AND/OR
 - Another monitoring visit if there were factors during the initial visit that cannot be demonstrated by submitting written documentation.
- Is there a limit on the number of re-inspections? Yes No
- Provide any additional information about your agency's process.

- Other _____

B. Complaints and incidents

1. Records of substantiated parental complaints

Within 24 hours of receiving a complaint concerning the health or safety of children under the care of a legal nonlicensed (LNL) provider, an agency must relay the complaint to the agency's child protection agency, county public health agency, local law enforcement, and/or other agencies with jurisdiction to investigate complaints.

Information regarding substantiated complaints must be released following applicable data privacy laws. See Minnesota Statutes Chapter 13. When a report is substantiated, see Minnesota Rules, part 3400.0140, subpart 6, for record retention and provider payment policies.

When complaints are substantiated how do you:

1a. Maintain these records?

When reports are substantiated on LNL providers, the maltreatment determination is maintained in SSIS.

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

Report information will be released following data privacy laws and in consultation with our County Attorney's Office upon written request.

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. See Minnesota Rules, part 3400.0140, subpart 14.

How will you record and maintain accurate counts of incidents that occur in legal nonlicensed settings registered by your agency?

Counts would be maintained in SSIS under completed facility investigations and reported to DHS CCAP quarterly.

VII. Higher rates for providers serving certain populations

Higher 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 and 3b

CCAP Policy
Manual,
Chapter 9.54

A. Higher rates for providers caring for children in at-risk populations

You may choose to pay higher rates for providers caring for children in at-risk populations defined in your County and Tribal Child Care Fund Plan. Children in an at-risk population means environmental or familial factors exist that may create barriers to a child's optimal achievement such as 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 higher 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. Higher rates for care of sick children

You may choose to pay higher rates for the care of sick children. Higher 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 higher 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 section VII.B. Higher rates for care of sick children.

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. Note: Good cause includes agency error and applies for one full year from the last date of service on the billing form.

Minnesota Statute, section
119B.13, subdivision 6

1. What criteria other than agency error is included in your definition of good cause for submitting and paying a billing form after 60 days?

MN Statute 119B.13, Subd 6B requires that all bills for current or past services be submitted within 60 days from the date that billing forms were initially generated OR the last day of services indicated on that form, whichever is later. A County cannot pay bills submitted more than one year after the last date of service. Statute allows for payments after the 60 days if Good Cause is determined by the County.

Dakota County allows for payment up to 120 days after the last day service was provided if the provider is found to meet Good Cause. When the county or state is under a state of emergency/disaster the 120 day period is waived. The COVID public health emergency is an example of such emergency. During a state of emergency/disaster bills submitted after 60 days but less than one year from last date of service can be paid when the reason for the delay meets the definition of good cause.

Good Cause is defined as events that are out of the control of the provider such as tornado, fire, flood, serious illness of the provider, lost invoices in the mail or agency error. There is no limit on the number of times Good Cause would be granted in these types of situations.

Good Cause could also be defined as events that are in the control of the provider. This would include situations such as ownership changes and management changes, as well as, Provider Identification Number changes. Dakota County will allow for payment up to 120 days after the last day service was provided, but there is a once in a calendar year limit Good Cause would be granted in these types of situations.

Good Cause will be determined by a Supervisor depending on the type of error. Billing errors will be determined by the OST Supervisor. Eligibility errors will be determined by the Family Cash Supervisor. Service Authorization errors will be determined by either the Family Cash Supervisor or the OST Supervisor.

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?

In order to be granted access to submit bills using MEC2Pro in Dakota County a provider must:

- Have been registered with Dakota County for a period 18 months.

Be free of any type of violation for the last three years in Dakota County and all other counties in which the

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

We would deny access to MEC² PRO-

If a provider asks to enroll and has not been registered in Dakota County for 18 months.

If a provider has any type of violations in the last three years including violations in other counties

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

The provider signature is not needed when the provider uses electronic billing only.

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?

The client's signature must match the name of the case. The client must sign and date the bill at the bottom of the signature line except when:

1. If the service authorization is no longer active.
2. If the provider states the child is no longer attending.

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.

Underpayments will be reimbursed if the dollar amount is over \$100 and the look back period is 90 days from the date of discover of the underpayment. This policy will apply to both DHS and internal audits. Providers are required to reimburse the client when underpayments occur. The policy applies to both agency error underpayments and provider billing error underpayments.

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

IX. Program integrity

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

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

If yes, describe the process, including:

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

Financial Assistance Supervisors, lead workers and trainers randomly review CCAP cases at intake or review.

We use our own form to conduct case reviews, Unity Form - Case Review for MAXIS and MEC2. We summarized any errors found and ask the Financial Workers to comment and correct issues found. We may require the worker to request more information of the client or to update MEC2. If a payment error is found (an under issuance or over issuance), we require the Financial Worker to take action to correct it.

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)

No.

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
EDAK 58 – Employment Verification	<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

Name of agency developed document	Document reflects current CCAP policy	Status of current document
EDAK 58A – Termination/Leave Verification	<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
EDAK 58B – Employment Start/Stop Verification	<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
EDAK 936 – CCAP Questionnaire	<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
EDAK 937 – Legal Non-Licensed Provider Registration	<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
EDAK 2045B – Licensed Provider Registration Packet	<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
EDAK 2045D – Dakota County CCAP Rates	<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
EDAK 2045E – Licensed Exempt Provider	<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
EDAK 2045F – Licensed Family Child Care Provider Registration Packet	<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
EDAK 3017 – Request for Training	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS previously approved - no changes <input checked="" type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New document - needs DHS approval
EDAK 3030 – Notification of Overpayment - CC	<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
EDAK 3068 – Unlicensed Provider Denial	<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
EDAK 3088 – Child Care Calculation of Overpayment	<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
EDAK 3099 – High School Approval Training 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
EDAK 3108 – Request for Training Post-Secondary Approval Form	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS previously approved - no changes <input checked="" type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New document - needs DHS approval
EDAK 3131 – Child Care Legally Unlicensed Provider Introduction Letter	<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

Name of agency developed document	Document reflects current CCAP policy	Status of current document
EDAK 3372 – Child Care Assistance Application Cover Letter	<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
EDAK 3673 – Waiting List Income Review 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
EDAK 3780 – CC Claim Adjustment Notification on MEC2	<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
EDAK 3783 – Training Request Denial Form	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS previously approved - no changes <input checked="" type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New document - needs DHS approval
EDAK 3799 – Notice New Providers	<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
EDAK 3810 – Important Notice – Incomplete	<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
EDAK 3848 – Unsafe Child Care Arrangement	<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
EDAK 3886 – Child Care Waiting List Removal	<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
EDAK 3886A – Child Care Waiting List Removal	<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
EDAK 3893 – Child Care Work Schedule Verification	<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
EDAK 3901 – Legal Non-Licensed Child Care Provider Registration Packet - Incomplete	<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
EDAK 3902 – Client Notice of Decision	<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
EDAK 3902A – Provider Closing Notice	<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
EDAK 3903 – HWL Purge Letter	<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
EDAK 3904 – Child Care Subsidy Program Waiting List Follow-up	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS previously approved - no changes <input checked="" type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New document - needs DHS approval

Name of agency developed document	Document reflects current CCAP policy	Status of current document
EDAK 3905 – CCAP Provider Notification	<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
EDAK 3908 – CCAP Provider Denial Notice	<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
EDAK 3918 – Provider Compliance Statement	<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
EDAK 3920 – Provider Compliance Statement – Clause 6	<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
EDAK 4091 – Reminder – Child Care Review	<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
Unity Form – Case Review for Maxis and MEC2	<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 and subpart 2.

- The documentation necessary to confirm eligibility for CCAP
- Waiting list information
- Application procedures
- The family's responsibility to report changes that affect their eligibility.

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
- Minnesota working family credits
- Federal and earned income credits
- Other programs and services for families with young children and families
- Child Care Aware services
- Child Care Assistance Program eligibility requirements
- Family copayment fees based on family size and income
- Information about how to choose a provider

- Availability of special needs rates
- The family's responsibility for paying provider charges that exceed the maximum child care payment 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 3400.0120, subpart 2.

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

Minnesota Rules part 3400.0140, subpart 14

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

Minnesota Rules part 3400.0150, subpart 2

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

G. Child Care Assistance Program (CCAP) Case Reviews

The county or tribe ensures access to all needed documents for cases selected for case reviewed performed by the Department of Human Services. The county or tribe ensure certification and submission of all required documents for the case review will be made by the Director or their delegate.

County or tribe assures compliance