

# Administration of the Child Care Assistance Program

## 2026-2027 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. 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 Children, Youth, and Families (DCYF) 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. This plan period begins on January 1, 2026.

Minnesota Statute, section 142E.09, 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 policies; see question VIII.A.
- Do not answer questions by stating that the reviewer should refer to a previous plan.
- Submit all agency-developed documents; see question VIII.B.
- Answer each question. Incomplete plans will be returned.

#### Step Three – Inform and involve community partners

**DCYF encourages counties and Tribes to develop optional policies in coordination with local partners.**

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 19, 2025)

#### 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 contacts, 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 19, 2025** to:

[DCYF.CCAP@state.mn.us](mailto:DCYF.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 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 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 Cory	LAST NAME Engelhardt		
TITLE Program Supervisor		PHONE NUMBER 651-554-5845	EXTENSION
EMAIL ADDRESS Cory.Engelhardt@co.dakota.mn.us		SIR EMAIL ADDRESS x11941S@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 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 Cory	LAST NAME Engelhardt		
TITLE Program Supervisor		PHONE NUMBER 651-554-5845	EXTENSION
EMAIL ADDRESS Cory.Engelhardt@co.dakota.mn.us		SIR EMAIL ADDRESS x11941S@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 Amanda	LAST NAME Nielsen		
TITLE Program Trainer Specialist - Lead		PHONE NUMBER 651-554-6258	EXTENSION
EMAIL ADDRESS Amanda.Nielsen@co.dakota.mn.us		SIR EMAIL ADDRESS x119C5E@cty.dhs.state.mn.us	

### 4. Management of waiting list contact

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

FIRST NAME Kimberly	LAST NAME Solberg
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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 billing contact person for questions about billing and payments? Only identify one contact.

FIRST NAME Kimberly		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. Data Integrity Contact

Who is the contact person for coordination of corrections to MEC<sup>2</sup> case data? For example, primary/secondary provider designation corrections and ongoing case reporting (overrides, accuracy reviews, etc.). You must provide a SIR email address. Only provide one 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	

### 7. Legal nonlicensed provider monitoring contact

Who is the contact person for questions about legal nonlicensed annual monitoring visits? Only provide one 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	

### 8. Case Review Error Findings Contact

Who is the contact person that should receive results of case reviews? This includes letters explaining errors and correct certificates when no errors exist. You must provide a SIR email address. You may have more than one 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 Cory	LAST NAME Engelhardt		
TITLE Program Supervisor		PHONE NUMBER 651-554-5845	EXTENSION
EMAIL ADDRESS Cory.Engelhardt@co.dakota.mn.us		SIR EMAIL ADDRESS x11941S@cty.dhs.state.mn.us	

## D. Subcontracted services

Counties and Tribes may contract with an agency to administer all or part of their Child Care Assistance Program.

Minnesota Rules, part 3400.0140, subpart 7

If you are planning any changes in the administration of your CCAP, tell your CCAP policy specialist immediately. This could involve subcontracting or mergers of counties. Failing to notify DCYF 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 include, but are not limited to, Child Care Aware, School Districts, Early Learning Scholarships, Head Start, and Early Childhood Screening. List the community programs your agency works with. ([Minnesota Statute, section 142E.09, subdivision 3 \(1\)](#))

Dakota County promotes teen parent programming with Social Services and Public Health. We coordinate with Families First, 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](http://www.familiesfirstmn.org/888-450-2773)).

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

**C.** How do you work with the community resources above to maximize public and private community resources for families with young children? Include the methods used to share information, responsibility, and accountability among these community resources. For example, partnering with Community Action agencies and local Head Start to help families access early childhood services and economic resources.

Collaboration centered around service connection and service integration a key component of Dakota County's approach to supporting the healthy development of young children.

Dakota County 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 Inter-agency 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.

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 available to the public, including 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 DCYF for approval. (Minnesota Statute, section 142E.09, subdivision 3 (2)).

1. Describe how you make copies of the **draft plan** available to the public, including how you plan to notify the public about the existence of this draft and ways the public can provide comment.

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 7/10/25.

**E.** After your plan is approved by DCYF, do you post your approved plan on your website? ☒ Yes ☐ No

### III. Eligibility

#### A. Education plans outside an Employment Plan

Prior to completing this section, review Minnesota Rules, part 3400.0040 and Minnesota Statutes 142E.12 Subdivision 3 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 VIII.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? Identify how you communicate the denial to the family; if an agency developed notice is used, list in section VIII.B.

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.

Client will be notified of the denial via denial notice in MEC2. Worker will add comment to notice elaborating on reason for denial (not meeting general criteria, not returning verifications, etc).

**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? Identify how you communicate the denial to the family; if an agency developed notice is used, list in section VIII.B.

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.

Client will be notified of the denial via denial notice in MEC2. Worker will add comment to notice elaborating on reason for denial (not meeting general criteria, not returning verifications, etc).

**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.** Do you approve all post-secondary programs (including associate degrees, bachelor degrees, certificate programs and technical degrees)?

☐ Yes ☒ No

If no, what program(s) would you deny? Identify how you communicate the denial to the family; if an agency developed notice is used, list in section VIII.B.

Dakota County will deny post-secondary education programs if the program is not accredited through the Minnesota Literacy Council or Minnesota Department of Education or if a student hasn't been accepted into the program yet.

**3b.** Explain why you would deny a program. Include data and facts to support why students should not receive CCAP while attending.

Dakota County will verify if the program is registered and licensed to operate in state of MN and that they are accredited in the state of MN or if out of state- that they're accredited in the state the school is in. If not, the request will be denied. It will also be denied if client fails to provide necessary verifications as noted in section 3c.

**3c.** Describe your criteria and procedures for approving a post-secondary program outside an Employment Plan.

General Requirements:

1. An education plan is not an eligible activity until the training request is approved.
2. The client must be already enrolled or accepted into the school program, verification is required.
3. If currently attending school, the student must verify they are making satisfactory progress.
4. The institution must be registered and licensed to operate in the state of MN. (see [www.ohe.state.mn.us](http://www.ohe.state.mn.us) if the

status is questionable).

5. The institution and education 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.

6. If an unpaid internship or similar activity is a requirement of the applicant's training course work, child care may be authorized.

#### Application Process

1. The student must submit the "Request for Training" packet, EDAK 3017 along with supporting documentation.

a. Proof of admittance/enrollment.

b. If already attending a program, verification of satisfactory progress.

c. Verification of school schedule is needed to issue an authorization.

2. Once all information has been provided, the worker will determine if the student meets the general requirements. Worker will confirm school is accredited and licensed to operate.

3. Supervisor approval is not required.

4. Approved

a. Upon approval, the financial worker will send the EDAK 3108 -Post-Secondary Approval to the student.

#### 4. How do you confirm satisfactory progress as determined by the institution at redetermination?

☒ Institution confirms the student is making satisfactory progress.

☐ Student remains enrolled in program.

### 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. How does your agency do a preliminary determination before adding families to the waiting list?

☐ Verbally collect family size, income, and type of eligible activity

☐ Family size, income and type of eligible activity collected from the application

☐ Agency form used to collect family size, income and type of eligible activity (list in section VIII.B)

☒ Other .

##### DESCRIBE OTHER

Our agency does a combination of ways to add families to the waiting list:

\* Verbally collecting the family size, income, and type of eligible activity.

\* Using information from a CCAP application that was submitted.

\* Using an agency form to collect the data, EDAK 936 - Child Care Questionnaire.

**3. 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. (CCAP Policy Manual, Chapter 4.3.12.12)**

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 VIII.B Agency developed documents)

**4. Six month review of Basic Sliding Fee Waiting List**

Minnesota Statute, section  
142E.04, subdivision 2

**4a.** You must 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 VIII.B Agency developed documents)

**4b.** 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 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 within 15 days of the notice, 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 letter or respond indicating that they no longer reside in Dakota County.

**4c.** 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 VIII.B Agency developed documents)
- ☐ Six month review letter includes notification they will be removed from the waiting list if they don't respond

**5. 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.

**5a.** 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.

**5b.** 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 VIII.B Agency developed documents)

**6. 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 90 days, according to priority group and serve the applicant who is next on the waiting list.

Minnesota Rules, part  
3400.0040, subpart 17



Do you have an alternate procedure that extends the timeframe beyond 90 days?

☒ 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 authorized hours for school release days 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 prior to authorizing care. 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.

Describe other method

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.)?**

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. 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. 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. 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?

- ☒ 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 submits the [Monitoring Visit Summary \(DHS-7867A\)](#) to DCYF within 10 days of the visit and notify DCYF if the provider fails any items.

☐ 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.

### 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 Children, Youth, and Families 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.

2a. 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.

## V. Higher rates for providers serving certain populations

Higher rates, above the standard maximum rates, can be paid to providers if approved by the commissioner (up to the provider's charge).

Minnesota Statute,  
section 142E.17,  
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 pay higher rates for providers caring for certain populations defined as at-risk in this plan. At-risk 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 providers caring for children in at-risk populations? ☐ Yes ☒ No

If this information changes, you must notify DCYF and request an amendment to your plan.

## VI. Payment policies

### A. Payment to two providers when a child is sick

When a child is sick and being cared for by a second provider, do you pay both the regular provider that charges an absent day 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 VIII.A. Additional Agency Optional Policies.

### B. Submission of invoices

MEC<sup>2</sup> PRO is standardized across the State for all providers. If a provider receives an authorization 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; bills submitted late due to agency error can be submitted for one full year from the last date of service on the billing form.

Minnesota Statute, section  
142E.17, subdivision 9

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? Check all that apply.

- ☒ Change in provider staffing that results in submitting the bill late.
- ☒ Circumstances outside of provider's control (natural disaster, state of emergency, damage to care setting, mail delay).
- ☒ Other

Describe other criteria included in your definition of good cause.

For exception related to "Change in provider staffing that results in bill being late" there is a once per calendar year limit where Good Cause exemption would be granted".

2. For each criteria under question 1, how many days late would you allow a provider to submit bills for payment (must be between 60 days and 1 year from the last date of service on the billing form)?

Up to 120 days.

3. Do you require the parent signature on paper billing forms? ☒ Yes ☐ No

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

The client must sign and date the bill as indicated except when the service authorization is no longer active or the provider states the child is no longer attending care.

## C. Underpayments

1. If you have underpaid according to Child Care Assistance Program policies, do you make corrective payments?

☒ Yes ☐ No

2. Under what circumstances do you make corrective payments? Check all that apply.

- ☒ Agency Errors: Corrective payments are made for one year after the last date of service on the billing form.
- ☒ Provider Corrections: Corrective payments are made for 90 days after the original bill was paid.
- ☒ Family Changes: Corrective payments are made retroactively to the date of the change, not to exceed 90 days from the date the change became known to the agency.
- ☒ Other

Describe other conditions when you make corrective payments.

For underpayments owed to clients related to co-payment errors, reimbursement will only be issued when the reimbursement amount is \$50 or more.

## D. Absent day policy

The Child Care Assistance Program limits the number of paid absent days. Payment may exceed absent day limit if at least one parent in the family:

- 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.

Minnesota Statute,  
section 142E.17,  
subdivision 10

1. Do you allow payment to exceed the absent day limit for children authorized with providers that meet these requirements?

☐ Yes ☒ No

## VII. 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.

## VIII. 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 DCYF.
- Counties and Tribes must use documents developed by DHS/DCYF for administration of child care assistance.
- Agency developed documents must not duplicate or replace DHS/DCYF documents.
- Local agencies may create supplemental documents subject to DCYF 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 and submit all forms, notices or written documents including those previously approved.

**Note:** Refer to the DCYF memo announcing this plan for a list of DHS/DCYF created documents required for the Child Care Assistance Program. Do not list or submit DHS/DCYF 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/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document

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/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 58B – Employment Start/Stop Verification	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 936 – CCAP Questionnaire	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3017 – Request for Training	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3030 – Notification of Overpayment – CC	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3088 – Child Care Calculation of Overpayment	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3099 – High School Approval Training Plan	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3108 – Request for Training Post-Secondary Approval Form	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3372 – Child Care Assistance Cover Letter	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3780 – CC Claim Adjustment Notification on MEC2	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3783 – Training Request Denial Form	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3886 – Child Care Waiting List Removal	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS/DCYF previously approved - no changes <input checked="" type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3893 – Child Care Work Schedule Verification	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3903 - HWL Purge Letter	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS/DCYF previously approved - no changes <input checked="" type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 3904 - Child Care Subsidy Program Waiting List Follow-up	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document

Name of agency developed document	Document reflects current CCAP policy	Status of current document
EDAK 4021 – CCWL Funds Available Notice	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
EDAK 4019 – Reminder – Child Care Review	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document
Unity Form – Case Review for MAXIS and MEC2	<input checked="" type="checkbox"/> Agency assures compliance	<input checked="" type="checkbox"/> DHS/DCYF previously approved - no changes <input type="checkbox"/> DHS/DCYF previously approved - revised <input type="checkbox"/> New document

## IX. County and Tribal assurances

Check the designated boxes below to assure compliance.

### A. Child Care Assistance Program (CCAP) Family Information

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**

The agency uses the following:

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

- Families rights and responsibilities when choosing a provider

"Paying for child care and more" (DHS-3551) which assures compliance with providing the following information:

- Federal and state child and dependent care tax credits
- Earned income and working family tax credits
- Other programs and services for families through Help Me Connect
- Child Care Assistance Program eligibility requirements
- Information about how to choose a provider
- Availability of special needs rates

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

## **B. 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
- Processing payments

These tasks and timeframes are required under the Child Care and Development Fund (CCDF), 98.11(a)(3) Administration under Contracts and Agreements, Minnesota Statutes 119B, Minnesota Rules 3400, CCAP Policy Manual, and MEC<sup>2</sup> User Guide.

☒ **County or Tribe assures compliance**

## **C. Child Care Assistance Program (CCAP) Funding**

The county or Tribe is reimbursed administrative dollars as outlined in Minnesota Statutes 142E.02, Subd. 9. In addition to receiving the Basic Sliding Fee allocation, the county or Tribe contributes a fixed local match as outlined in Minnesota Statutes 142E.14, Subd. 1.

The county or Tribe is provided a calendar year Basic Sliding Fee allocation based on Minnesota Statutes 142E.04, 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 142E.04, Subd. 4.

☒ **County or Tribe assures compliance**

## **D. Child Care Assistance Program (CCAP) Reporting**

Minnesota Rules part 3400.0140, subpart 14

The county or Tribe is required to submit timely financial, program activity, and provider reports to the Department of Children, Youth, and Families. The reports include, but are not limited to:

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

☒ **County or Tribe assures compliance**

## **E. 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**

## **F. 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 Children, Youth, and Families. 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**