

# Administration of the Child Care Assistance Program

## 2024-2025 Houston 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.

**Print Blank Form**

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

Minnesota Statute, section 119B.08, subdivision 3

Steps to complete the plan process:

#### Step One – Review the plan

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

#### Step Two – Draft the plan responses

Note these guidelines:

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

#### Step Three – Inform 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](mailto:DHS.CCAP@state.mn.us)

# Administration of the Child Care Assistance Program

## I. Child Care Assistance Program contacts

### A. County or tribal agency

|   |                                      |  |                                    |
|---|--------------------------------------|--|------------------------------------|
| COUNTY OR TRIBE NAME<br>Houston   | GENERAL PHONE NUMBER<br>507-725-5811 | EXTENSION                                | GENERAL FAX NUMBER<br>507-725-3990 |
| AGENCY'S FULL NAME<br>Houston County Public Health and Human Services   |                                      | CCAP INTAKE PHONE NUMBER<br>507-725-5811 | EXTENSION                          |
| MAIN OFFICE STREET ADDRESS<br>304 S Marshall St, Rm 104                 | CITY<br>Caledonia                    | ZIP CODE<br>55921                        |                                    |
| MAIN OFFICE MAILING ADDRESS (if different)<br>304 S Marshall St, Rm 104 | CITY<br>Caledonia                    | ZIP CODE<br>55921                        |                                    |

### B. County or tribal branch office (if applicable)

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

[Add branch](#)

### C. Agency contact people

This contact information is required.

#### 1. County or tribal director

|                                      |                       |   |
|--------------------------------------|-----------------------|---|
| FIRST NAME<br>John                   | LAST NAME<br>Pugleasa |   |
| PHONE NUMBER<br>507-725-5811         | EXTENSION<br>1314     | EMAIL ADDRESS<br>john.pugleasa@co.houston.mn.us |
| ADDRESS<br>304 S Marshall St, Rm 104 | CITY<br>Caledonia     | ZIP CODE<br>55921                               |

#### 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<br>Karen                               | LAST NAME<br>Kohlmeyer                           |                   |
| TITLE<br>Financial Assistance Supervisor          | PHONE NUMBER<br>507-725-5811                     | EXTENSION<br>1305 |
| EMAIL ADDRESS<br>karen.kohlmeyer@co.houston.mn.us | SIR EMAIL ADDRESS<br>X128516@cty.dhs.state.mn.us |                   |

[Add contact person](#)

### 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<br>Helen                                 | LAST NAME<br>Olson       |  |                   | X |
| TITLE<br>Eligibility Worker                         |                          | PHONE NUMBER<br>507-725-5811                     | EXTENSION<br>1301 |   |
| EMAIL ADDRESS<br>helen.olson@co.houston.mn.us       |                          | SIR EMAIL ADDRESS<br>X128538@cty.dhs.state.mn.us |                   |   |
| FIRST NAME<br>Kirby                                 | LAST NAME<br>Fitzpatrick |  |                   | X |
| TITLE<br>Eligibility Worker                         |                          | PHONE NUMBER<br>507-725-5811                     | EXTENSION<br>1345 |   |
| EMAIL ADDRESS<br>kirby.fitzpatrick@co.houston.mn.us |                          | SIR EMAIL ADDRESS<br>X128529@cty.dhs.state.mn.us |                   |   |

Add contact person

### 4. Management of waiting list contact

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

|   |                    |  |                   |
|---|--------------------|--|-------------------|
| FIRST NAME<br>Helen                           | LAST NAME<br>Olson |  |                   |
| TITLE<br>Eligibility Worker                   |                    | PHONE NUMBER<br>507-725-5811                     | EXTENSION<br>1301 |
| EMAIL ADDRESS<br>helen.olson@co.houston.mn.us |                    | SIR EMAIL ADDRESS<br>X128538@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<br>Susan                               | LAST NAME<br>Tostenson |                              |                   |
| TITLE<br>Accounting Technician                    |                        | PHONE NUMBER<br>507-725-5811 | EXTENSION<br>1218 |
| EMAIL ADDRESS<br>susan.tostenson@co.houston.mn.us |                        | SIR EMAIL ADDRESS<br>NA      |                   |

### 6. Provider registration contact

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

|  |                   |  |                   |
|--|-------------------|--|-------------------|
| FIRST NAME<br>Kristen                          | LAST NAME<br>Klug |  |                   |
| TITLE<br>Case Aide                             |                   | PHONE NUMBER<br>507-725-5811                     | EXTENSION<br>1219 |
| EMAIL ADDRESS<br>kristen.klug@co.houston.mn.us |                   | SIR EMAIL ADDRESS<br>X128kmk@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<br>Bethany                          | LAST NAME<br>Moen |                              |                   |
| TITLE<br>Social Worker                         |                   | PHONE NUMBER<br>507-725-5811 | EXTENSION<br>1341 |
| EMAIL ADDRESS<br>bethany.moen@co.houston.mn.us |                   | SIR EMAIL ADDRESS<br>NA      |                   |

## 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](#))

Houston County take a collaborative approach to provide outreach about the Child Care Assistance Program. We enlist the help of county and community partners. We have information available on our county website and are creating a more comprehensive site to assist both current providers as well as new potential providers. We provide information on the CCAP program to all new applicants and have the applications and other relative documents available for pick up as needed.

**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 \(1\)](#))

Houston County Maternal and Child Health Nurses  
Head Start  
Birth to 3  
Bluff Country Family Resources  
Workforce Development, Inc  
SEMCAC  
WIC  
Houston County Food Shelves  
Houston County Schools

**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.

Houston County has just engaged in a program with our local EDA in order to increase child care capacity. The cohort includes staff from Houston County as well as local EDA staff, schools, our local Workforce Development office and local child care providers. We are working to create easy in-road for information sharing amongst providers and participants of the child care program. We have information available to participants and providers on our website. Our child care licenser shares information directly with our providers and they have a county wide provider group. We make sure providers have access to Develop and the other available online resources.

**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.

A copy of our plan was available in our main lobby as well as on the county website.

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

Tuesday, August 15th

**E.** After your plan is approved by DHS, do you post your approved county/tribal plan on your website?  Yes  No

### III. Eligibility

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

Prior to completing this section, please review [Minnesota Rules, part 3400.0040](#) and [Minnesota Statutes 119B.10 Subdivision 3](#) in their entirety to ensure your policies are in compliance. Identify agency developed documents used for education plan requests and notices used to communicate approval or denial in each response and list these in the agency developed document section X.B.

##### 1. High school diploma/GED high school equivalency diploma

**1a.** Do you approve all high school and GED programs?  Yes  No

##### 2. Remedial and basic skills courses (includes Adult Basic Education and English as a Second Language)

**2a.** Do you approve all remedial and basic skills courses?  Yes  No

##### 3. Post-secondary programs

**3a.** Describe your criteria and procedures for approving a post-secondary program outside an Employment Plan that will lead to employment.

We follow rule 3400.0040, subp12. Students must meet with employment services and complete an Education Plan and must demonstrate the degree they were working toward would lead to full time employment. We would request clients to provide documentation of their grades and report changes in attendance. A student would demonstrate the ability to complete the program by attending class and being in good standing.

**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).

The client's education plan is reviewed with our employment services provider and they may complete an assessment with the student in reading and math skills and may require a vocational assessment to determine if the applicant is a good fit for the desired program. We look at availability, wage information and placement rates of the programs.

**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

**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.

An update form is sent to the families that are on our waiting list. We ask them to update any of their information and allow 10 days for them to return the information. Our letter to the family indicates if they do not return the information within 10 days, they will be removed from the waiting list.

**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
- 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

#### C. Child care for school release days

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

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

CCAP Policy Manual, Chapter 9.1.3

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

We will send a memo to the provider and to the parent informing them of the expectation that they can only bill for time care is scheduled and authorized.

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

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

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

CCAP Policy Manual, Chapter 9.1.6

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

We will send a memo to the provider indicating the client's schedule is varied and we will approve up to a certain amount of time. Staff review all billing forms prior to being sent to accounting for payment. They attach or make notes on

the billing form to ensure payments are accurate.

## E. Authorizing care for clients with Employment Plans

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

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

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

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

The CCAP worker will get an activity schedule with days and times if the client is employed. The job counselor will provide the number of hours for all other activities listed on the employment plan.

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

We will use email and the status update form and employment plans. We also meet every other month to discuss common cases.

## 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

## 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.

- 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

CCAP Policy Manual,  
Chapter 9.3

CCAP Policy Manual,  
Chapter 13

## 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.

None, we follow the provision outlined in Minnesota Statute, Section 119B.125, subdivision 4.

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

Yes, we apply these conditions 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.

Abuse, neglect, lack of supervision, non-safe infant sleeping practices that aren't corrected.

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 MEC<sup>2</sup> 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.

If during an annual visit a LNL provider isn't in compliance this will be discussed during the exit interview. A follow-up letter listing items for correction to be completed within 15 days of the monitoring visit or LNL provider's registration will be closed. Further compliance is monitored by both receipt of compliance items and/or another monitoring visit. After a provider's registration is closed due to non-compliance a provider can be re-registered upon re-application and successfully passing a compliance visit.

- 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?

A complete record of substantiated parental complaints is maintained in the legal non-licensed providers file and is filed and maintained by the Houston County Child Care Licensors. The integrity of the file is maintained in the electronic case file.

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

Appropriate information is shared with the public upon request. The licensor requests a completed "Houston County Request for Information" form to be filed with Houston County Public Health and Human Services. The request is then forwarded to the agency director who responds as appropriate to the 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?

Data is gathered quarterly and the information is sent to the State as directed. Copies of each report are maintained and tracked. The CCAP team works closely with the licensor in compiling the data.

## 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?

Loss of forms by provider/agency, day care family illness or crisis, special need child, delays in registering legal non-licensed providers.

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

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

Situations are assessed on a case-by-case basis. If the provider is incapacitated or unavailable for an extended period, the agency would consider processing the voucher without the appropriate signature. A note would be placed on the voucher explaining the absence of the necessary signatures.

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?

Situations are assessed on a case-by-case basis. If the parent is incapacitated or unavailable for an extended period of time, the agency would consider processing the voucher without the appropriate signature. A note would be attached to the voucher explaining the absence of the necessary signature.

## 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.

We would also make corrective payments for cases that had agency error, appeal decisions and/or provider billing errors.

## E. Provider rates

Does your agency enter provider rates on MEC²?  Yes  No

## F. Absent day policy

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

Minnesota Statute,  
section 119B.13,  
subdivision 7

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

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

## 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.

Cases are randomly selected for case review. We are focusing on income at this time. Each month we will strive to review 2 child care cases for accuracy in this area. We use DHS- 5312D to complete the review. We review the findings as a group and errors are corrected as soon as we determine the need to do so. At the time of review, we will go through policy and PQ's to ensure we are taking the correct actions on each case.

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

If yes, describe the process, including:

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

Cases are randomly selected for case review. We are focusing on income at this time. Each month we will strive to review 2 child care cases for accuracy in this area. We use DHS- 5312E to complete the review. We review the findings as a group and errors are corrected as soon as we determine the need to do so. At the time of review, we will go through policy and PQ's to ensure we are taking the correct actions on each case.

## 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   |
|-----------------------------------|--|--|
|                                   | <input type="checkbox"/> Agency assures compliance | <input type="checkbox"/> DHS previously approved - no changes<br><input type="checkbox"/> DHS previously approved - revised and needs DHS approval<br><input type="checkbox"/> New document - needs DHS approval |

Add form

## XI. County and tribal assurances

Check the designated boxes below to assure compliance.

**A. The county or tribe is informing parents about the following as required under [Minnesota Rules, part 3400.0035, subpart 1 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 MEC<sup>2</sup> User Guide.

**County or tribe assures compliance**

### D. Child Care Assistance Program (CCAP) Funding

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

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

**County or tribe assures compliance**

### E. Child Care Assistance Program (CCAP) Reporting

[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**

**SUBMIT BY EMAIL**