

Administration of the Child Care Assistance Program

2022-2023 Douglas County and Tribal Child Care Fund Plan

Administration of the Child Care Assistance Program

Background: Counties and tribes must submit a biennial Child Care Fund Plan to the commissioner. Child Care Assistance Program rules and laws allow counties and tribes to establish some local policies and procedures. These local policies and procedures, when included in this plan and approved by the commissioner, are considered county/tribal policy and are used to support agency decisions during appeals. The Department of Human Services (DHS) will review and approve County and Tribal Child Care Fund Plans. Counties and tribes will receive approval letters for their Child Care Fund Plans from the commissioner of DHS. This plan period begins on January 1, 2022.

Minnesota Statute, section 119B.08, subdivision 3

Steps to complete the plan process:

Step One – Review the plan

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

Step Two – Draft the plan responses

Note these guidelines:

- Identify all optional county/tribal Child Care Assistance Program policies; see question X.A.
- Do not answer questions by stating that the reviewer should refer to a previous plan
- Submit any agency-developed documents that have not been previously submitted and approved. Do not submit DHS and MEC² standardized documents. Refer to the DHS memo announcing this plan for a list of DHS created documents.
- Answer each question. Incomplete plans will be returned.

Step Three – Inform or involve stakeholders

DHS encourages counties and tribes to develop optional policies in coordination with local child care stakeholders. This may include: parents, child care providers, culturally specific service organizations, Child Care Aware agencies, interagency early intervention committees, and agencies involved in the provision of care and education to young children. Consult with other agency staff such as fraud investigators and income maintenance and employment services staff.

Step Four – Share the draft plan

Prior to submission, you must make copies of the proposed plan available to the public and allow sufficient time for public review and comment. See question II.D of this plan; describe methods used to make the plan available to the public, particularly to those members listed in II.D.

Step Five – Submit the plan by the deadline (Friday, September 17, 2021)

Amendments to plans

A county or tribe may amend their Child Care Fund Plan at any time. If approved by the commissioner, the amendment is effective on the date requested by the agency unless a different effective date is set by the commissioner. Plan amendments must be approved or denied by the commissioner within 60 days after receipt of the amendment request. The department reserves the right to direct a county or tribe to amend its child care fund plan if the plan is no longer in compliance with Minnesota Statutes, Minnesota Rules, or federal law.

Minnesota Rules, part 3400.0150, subpart 3

Amendments include changes in county/tribal contacts, county/tribal optional policies, new or revised forms and notices. Amendments can be sent in letter form or by email to the agency's child care assistance policy specialist.

Return completed plans by **Friday, September 17, 2021** to:

DHS.CCAP@state.mn.us

Administration of the Child Care Assistance Program

I. Child Care Assistance Program contacts

A. County or tribal agency

COUNTY OR TRIBE NAME Douglas	GENERAL PHONE NUMBER 320-762-2302	EXTENSION	GENERAL FAX NUMBER 320-762-3833
AGENCY'S FULL NAME Douglas County Social Services		CCAP INTAKE PHONE NUMBER 320-762-2302	EXTENSION
MAIN OFFICE STREET ADDRESS 809 Elm Street Suite 1186		CITY Alexandria	ZIP CODE 56308
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 Laurie		LAST NAME Bonds	
PHONE NUMBER 320-762-3815	EXTENSION	EMAIL ADDRESS laurieb@co.douglas.mn.us	
ADDRESS 809 Elm Street Suite 1186		CITY Alexandria	ZIP CODE 56308

2. County or tribal CCAP administrative contact

Who is your primary contact for the Child Care Assistance Program? This contact will receive policy bulletins, memos, and other high level communications. You may have more than one administrative contact.

FIRST NAME Colleen		LAST NAME Sibert	
TITLE Financial Assistance Supervisor		PHONE NUMBER 320-762-3801	EXTENSION
EMAIL ADDRESS colleens@co.douglas.mn.us		SIR EMAIL ADDRESS x121572@cty.dhs.state.mn.us	
ADDRESS 809 Elm Street Suite 1186		CITY Alexandria	ZIP CODE 56308

FIRST NAME Brenda	LAST NAME Lunak		
TITLE Financial Assistance Supervisor		PHONE NUMBER 320-762-3809	EXTENSION
EMAIL ADDRESS brendal@co.douglas.mn.us	SIR EMAIL ADDRESS x121544@cty.dhs.state.mn.us		
ADDRESS 809 Elm Street Suite 1186	CITY Alexandria	ZIP CODE 56308	

3. County or tribal client access contact

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

FIRST NAME Colleen	LAST NAME Sibert		
TITLE Financial Assistance Supervisor		PHONE NUMBER 320-762-3801	EXTENSION
EMAIL ADDRESS colleens@co.douglas.mn.us	SIR EMAIL ADDRESS x121572@cty.dhs.state.mn.us		
ADDRESS 809 Elm Street Suite 1186	CITY Alexandria	ZIP CODE 56308	

4. Management of waiting list contact

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

FIRST NAME Colleen	LAST NAME Sibert		
TITLE Financial Assistance Supervisor		PHONE NUMBER 320-762-3801	EXTENSION
EMAIL ADDRESS colleens@co.douglas.mn.us	SIR EMAIL ADDRESS x121572@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 Bonnie	LAST NAME Tiemann		
TITLE Accounting Technician		PHONE NUMBER 320-762-3820	EXTENSION
EMAIL ADDRESS bonniet@co.douglas.mn.us	SIR EMAIL ADDRESS x121303@cty.dhs.state.mn.us		

6. Provider registration contact

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

FIRST NAME Jessica	LAST NAME Cieniawski		
TITLE Case Aide		PHONE NUMBER 320-762-3818	EXTENSION
EMAIL ADDRESS jessicac@co.douglas.mn.us		SIR EMAIL ADDRESS x121479@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 Sarah	LAST NAME Hacker		
TITLE Social Services Supervisor		PHONE NUMBER 320-762-3813	EXTENSION
EMAIL ADDRESS sarahh@co.douglas.mn.us		SIR EMAIL ADDRESS	

D. Subcontracted services

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

**Minnesota Rules, part
3400.0140, subpart 7**

If you are planning any changes in the administration of your CCAP, tell your CCAP policy specialist immediately. This could involve subcontracting or mergers of counties. Failing to notify DHS may delay the changes that you are planning to make.

Does your county or tribe contract with an agency for any part of the administration of CCAP? ☒ Yes ☐ No

Do not include cooperative agreements with employment and training service providers that work with MFIP/DWP families to develop and approve the employment service plan.

If your county or tribe has a contract with another agency for administering CCAP, complete the following information:

Include a signed copy of the current contract when submitting this County and Tribal Child Care Fund Plan. If your agency renews a contract or enters into a new contract between January 1, 2022 and December 31, 2023, forward a signed copy of that contract to your CCAP policy specialist. DHS must retain copies of all signed contracts for audit purposes.

1. Subcontracted program functions

What CCAP administrative functions are subcontracted?

Background studies and monitoring visits for LNL Providers.

2. County or tribal worker responsible for administration of the subcontract/agreement between the county or tribal agency and the subcontracted agency.

Who in your agency is responsible for the contract?

FIRST NAME Sarah	LAST NAME Hacker		
TITLE Social Services Supervisor		PHONE NUMBER 320-762-3813	EXTENSION
EMAIL ADDRESS sarahh@co.douglas.mn.us		SIR EMAIL ADDRESS	
ADDRESS 809 Elm Street Suite 1186	CITY Alexandria	ZIP CODE 56308	

3. Administrative contact in subcontracted agency

Who is the primary contact for the Child Care Assistance Program at the subcontracted agency? This contact will receive policy bulletins, memos, and other high level communications. You may have more than one administrative contact.

NAME OF SUBCONTRACTED AGENCY Sourcewell			
FIRST NAME Sara	LAST NAME Peterson		
TITLE Regional Licensing Specialist		PHONE NUMBER 218-541-5222	EXTENSION
EMAIL ADDRESS sara.peterson@sourcewell-mn.gov			
ADDRESS 202 12th Street NE PO Box 219	CITY Staples	ZIP CODE 56479	

4. Client access contact in subcontracted agency

Who is the lead person/s that has contact with families receiving CCAP at the subcontracted agency? You may have more than one client access contact.

NAME OF SUBCONTRACTED AGENCY			
FIRST NAME	LAST NAME		
TITLE		PHONE NUMBER	EXTENSION
EMAIL ADDRESS			
ADDRESS	CITY	ZIP CODE	

5. Provider billing contact in subcontracted agency

Who is the lead billing contact person in the subcontracted agency who is able to answer questions about billing and payments? Only provide one provider billing contact.

NAME OF SUBCONTRACTED AGENCY			
FIRST NAME		LAST NAME	
TITLE		PHONE NUMBER	EXTENSION
EMAIL ADDRESS			

6. Provider registration contact in the subcontracted agency

Who is the lead provider registration contact person in the subcontracted agency? Only provide one provider registration contact.

NAME OF SUBCONTRACTED AGENCY			
FIRST NAME		LAST NAME	
TITLE		PHONE NUMBER	EXTENSION
EMAIL ADDRESS			

7. Legal nonlicensed provider monitoring contact

Who is the lead contact person in the subcontracted agency who is able to answer questions about legal nonlicensed annual monitoring visits? Only provide one monitoring contact.

NAME OF SUBCONTRACTED AGENCY Sourcewell			
FIRST NAME Sara		LAST NAME Peterson	
TITLE Regional Licensing Specialist		PHONE NUMBER 218-541-5222	EXTENSION
EMAIL ADDRESS sara.peterson@sourcewell-mn.gov			

8. Intake phone number for subcontracted agency

Identify a CCAP intake phone number for the subcontracted agency. This number is posted on the DHS website.

PHONE NUMBER

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](#))

Information on child care assistance is available on the county website. We make sure parents seeking information are informed about the program availability. Agency licensor makes subsidy information available to all licensed child care providers and encourage them to refer parent to the program. Information about the child care assistance program is also provided to employment and training agencies, as well as public health departments. Posters and brochures are also displayed.

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 \(1\)](#))

Child Care Aware, Early Learning Scholarships, Head Start (West Central CAP, Inc.), Early Child Initiatives, Child Care Associations, Life Connections, local schools and colleges.

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.

Applications for clients are available at the county agencies as well as sent out to other community programs, when requested, such as child care centers and programs stated above. Information sheets are also posted at county sites as well as at Employment Services offices and various large county employers. We will make yearly contact to agencies listed to inquire if materials are being displayed, if inquiries were made and if any additional information is needed regarding CCAP.

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.

Statement will be posted on the county website stating that the County Fund Plan will be available at the county office for public review and comment upon request.

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

August 1, 2021-August 31, 2021

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.

Students must complete an Employability Plan which outlines their course of study as well as expected completion date. This plan is signed by both the student as well as the student's advisor. The plan clearly states what the client's responsibilities are in order to have their education approved as an eligible activity. All initial plans will be approved if they have the approval of the post-secondary institution's advisor/counselor. Follow up is done at redetermination to determine if the student is in good academic 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 post-secondary institution has approved the employability plan. The school's advisor/counselor is best qualified.

4. Changes to education plans outside an Employment Plan

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

B. Basic Sliding Fee Waiting List management

1. Priorities for service

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

☐ Yes ☒ No

2. When adding a family to your BSF waiting list, you must inform the family of the priority group determination, and the number of families on the waiting list or an estimated time that they will spend on the waiting list before reaching the top.

How do you notify a family they were placed on the waiting list?

- ☒ The family is sent DHS-7883A (You have been placed on the Child Care Assistance Program (CCAP) waiting list)
- ☐ The family is sent a notice developed by our agency (list this notice in section X.B Agency developed documents)

3. Six month review of Basic Sliding Fee Waiting List

CCAP Policy Manual,
Chapter 4.3.12.12

Minnesota Statute, section
119B.03, subdivision 2

3a. Statute requires that you review and update your waiting list at least every six months. How are families notified of this six month review?

- ☒ The family is sent [DHS-7883B \(Child Care Assistance Program \(CCAP\) waiting list update\)](#)
- ☐ The family is sent a notice developed by our agency (list this notice in section X.B Agency developed documents)

Describe your agency's process for reviewing and updating the waiting list. If your agency does not currently have a waiting list, describe your process in the event your agency does start a waiting list.

Six months or less from the date that the family was placed on the list, the family is mailed DHS-7883B Child Care Assistance Program (CCAP) waiting list update stating that the reviews are required every six months. The DHS-7883B CCAP waiting list update option will be checked-"We will not send a notice when we remove your name."

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

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

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

Applications must be sent to families on the waiting list when there is funding available for Basic Sliding Fee. When do you remove the family from the waiting list?

- ☐ When the application is sent to the family. The notice sent with the application informs the family that their name has been removed from the waiting list.
- ☒ When you receive the completed application. If no application is received, the family is removed at the end of the time period allowed for returning the application. The notice sent with the application informs the family that their name will be removed from the waiting list if the application is not received by the deadline.

5. Temporarily ineligible families on the Basic Sliding Fee Waiting List

When a family reaches the top of the waiting list and is temporarily ineligible, leave the family at the top of the waiting list for a period of time not to exceed 90 calendar days, according to priority group and serve the applicant who is next on the waiting list unless an alternative procedure is provided in the agency's plan.

Minnesota Rules, part
3400.0040, subpart 17

Minnesota Rules, part
3400.0060, subpart 6

Do you have an alternate procedure to the 90 day policy that extends the timeframe for a family who has reached the top of the waiting list and is temporarily ineligible?

- ☐ Yes
- ☒ No

C. Child care for school release days

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

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

CCAP Policy Manual,
Chapter 9.1.3

How do you authorize child care for school release days?

Authorize hours needed when there are no school release dates. When additional hours are submitted, case workers determine if there were school release dates during the biweekly period and then determine if additional hours can be authorized base on the parents' activity(ies). Case workers then let billing workers know if additional hours can be approved.

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

When Service Authorizations are approved, memos are sent to both the client and the provider indicating what days and times child care hours are authorized for each child. Billing workers are not told this information, instead they have case workers review any billing forms that are submitted that have more than the authorized hours indicated. The case worker then informs the billing worker if additional hours can be authorized based on case information.

D. Child care for families with flexible schedules

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

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

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

When Service Authorizations are approved, memos are sent to both the client and the provider indicating the number of hours as well as the range of days and times child care hours are authorized for each child. Billing workers are not told this information, instead they have case workers review any billing forms that are submitted that have more than the authorized hours indicated. The case worker then informs the billing worker if additional hours can be authorized based on case information.

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?

CCAP worker obtains activity schedules from job counselors, however if the job counselor does not have all the needed information it is then requested from the family by the CCAP worker.

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

Communication between job counselor and CCAP worker is done through emails, phone calls, and employment plans. The information that is discussed is then case noted for future reference.

F. Extending redetermination dates beyond 12 months

Redeterminations may be extended beyond 12 months for a family that has a caregiver under the age of twenty-one, who does not have a high school or general equivalency diploma (GED), and is a student in a school district or another similar program that provides or arranges child care, parenting, social services, career and employment supports and academic support to achieve high school graduation.

An agency may identify other reasons to extend redetermination dates beyond 12 months as an optional policy. For example, an agency may extend redetermination dates to balance out a workload. [See CCAP Policy Manual, Chapter 10.3](#).

1. Does your agency extend redetermination dates beyond 12 months?

- ☐ Yes ☒ No

IV. Provider compliance policies

A. Reasons for closing a provider's registration

[Minnesota Statutes, section 119B.13, subdivision 6\(d\)](#) allows counties and tribes to refuse to issue a child care authorization, revoke an existing authorization for a provider, stop payment, or refuse to pay a bill under circumstances described in the seven clauses below. Counties and tribes must indicate which clauses they will include in their plan, and must apply the policies consistently to providers.

CCAP Policy Manual,
Chapter 9.3

CCAP Policy Manual,
Chapter 13

- An agency cannot implement these policies without establishing them in their plan.
- An agency must notify their child care assistance policy specialist at least 10 days prior to closing a provider's registration or taking any other action to enforce any of these policies, except clause 4 when notified by DHS.
- An agency that does not implement these policies may still pursue a fraud disqualification for a provider. These policies can be used in addition to, or in combination with, a fraud disqualification.

Does your agency plan to disqualify providers for reasons listed in Minnesota Statutes, section 119B.13, subdivision 6(d)? ☒ Yes ☐ No

Which clause(s) does your agency plan to implement? Check all that apply.

- ☐ **Clause 1:** A provider admits to intentionally giving the agency materially false information on the provider's billing forms.
- ☐ **Clause 2:** The agency finds a preponderance of evidence that the provider intentionally gave the agency materially false information on the provider's billing forms or attendance records.
- ☐ **Clause 3:** A provider is in violation of Child Care Assistance Program rules, until the agency determines the violations have been corrected.
- ☒ **Clause 4:** A provider is operating after receipt of a licensing order of suspension, revocation, or decertification (this occurs when providers are appealing the revocation, suspension, or decertification).

If you choose this option, DHS will send you a list once a month to inform you of providers in this category. You may act sooner if you learn of this licensing status through your licensors, etc. Contact your child care assistance policy specialist if you are planning to take action prior to receiving the monthly DHS listing.

What licensing or certification statuses are subject to this clause?

Providers with a suspended license? ☒ Yes ☐ No

When applying this clause for a provider with a suspended license, what provider types will you apply the clause to?

☐ Licensed family child care ☐ Licensed centers ☒ Both

Providers with a revoked license? ☒ Yes ☐ No

When applying this clause for a provider with a revoked license, what provider types will you apply the clause to?

☐ Licensed family child care ☐ Licensed centers ☒ Both

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

When implementing clause 4, you have the option to use MEC² generated notices or DHS-approved optional notices to notify providers. The optional notice to providers gives specific information on why their registration closed. Contact your child care assistance policy specialist for samples of the optional notices and instructions on how to use the notices.

What type of notice will you send to providers? ☒ MEC² generated notices ☐ DHS-approved optional notices

- ☐ **Clause 5:** A provider submits false attendance reports or refuses to provide documentation of the child's attendance upon request.
- ☐ **Clause 6:** A provider gives false child care price information.

- ☐ **Clause 7:** A provider fails to report decreases in a child's attendance. A provider must report to the county on the billing form when a child's attendance in child care falls to less than half of the child's authorized hours or days for a four-week period.

B. Notification to providers

Your agency must notify all currently registered providers and any new providers wishing to register with your agency of the provider compliance clause(s) being implemented. Notification options include:

- Sending a mailing to all providers registered with your agency.
- Adding information to your agency's provider registration packets.

How will you notify providers about the provider compliance clauses your agency is choosing to implement? Add the notification document(s) to Section X.B and if the document(s) have not yet been approved by DHS, submit with this plan for review and approval.

A copy of the letter is included in provider registration and renewal packets.

Note: This notice differs from the adverse action notice your agency sends when closing an individual provider's registration under these clauses.

V. Unsafe care

A. Unsafe care

An agency may deny authorization as a child care provider to any applicant or rescind authorization of any provider when the agency knows or has reason to believe that the provider is unsafe or that the circumstances of the chosen child care arrangement are unsafe. See [Minnesota Statute, section 119B.125, subdivision 4](#). When a provider's authorization is rescinded due to unsafe care, the agency must close the provider's registration with a 15 calendar day notice.

If there is also an imminent risk of harm to the health, safety or rights of the child(ren) in care with a legal nonlicensed (LNL) provider, certified license exempt center, or a provider licensed by an entity other than the state of Minnesota, child care authorization must be terminated immediately. See [Minnesota Rules 3400.0185, subpart 2, clause D](#).

NOTE: The Consolidated Appropriations Act of 2018 (Public Law 115-141) prohibits states from expending federal CCDF funds on providers where a serious injury or death occurred due to substantiated health or safety violations.

1. Conditions of unsafe care

1a. Identify any additional conditions of unsafe care your agency applies to providers. NOTE: For legal nonlicensed providers, the department has identified that when substantiated maltreatment occurred in a legal nonlicensed care setting related to an incident where a child died or was seriously injured, the child care setting is considered unsafe care. A serious injury is one that required treatment by a physician.

None.

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

Yes.

2. Imminent risk

Some unsafe care conditions present an imminent risk for children in care. When there is an imminent risk of harm to the health, safety or rights of a child in care with a legal nonlicensed provider, certified license exempt center or a provider licensed by an entity other than the state of Minnesota, child care authorization must be terminated immediately. Agencies do not give the provider 15 calendar days notice. See [Minnesota Rules 3400.0185, subpart 2, clause D](#).

2a. Of the unsafe care conditions listed in V.A.1, what conditions does your agency recognize as presenting an imminent risk to the health, safety or rights of a child in care with a legal nonlicensed provider?

Any condition that would constitute a temporary immediate suspension of a licensed provider.

2b. Do these conditions apply to all of these provider types: legal nonlicensed providers, certified license exempt centers and providers licensed by an entity other than the state of Minnesota? If no, explain which criteria apply to which provider types.

Yes.

VI. Policies applicable to legal nonlicensed (LNL) providers

A. Annual monitoring

Any legal nonlicensed (LNL) provider with an open Service Authorization for a child who is not related to them must have an annual monitoring visit. Related means the provider is the child's sibling, grandparent, great-grandparent, aunt, or uncle of the child, based on blood relationship, marriage or court decree.

1. How does your agency track legal nonlicensed providers who are registered with your agency and who have an open Service Authorization for unrelated children? NOTE: DHS typically sends a list of annual monitoring visits that must occur within the next 90 days, but agencies must take other steps to monitor authorized LNL provider caseloads to ensure all providers who need an annual monitoring visit are identified.

Douglas County Social Services contracts with Sourcewell for Family Child Care licensing. The tracking process will be the same as licensed providers. Douglas County Social Services will enter into SSIS once notified provider is eligible to provide legal nonlicensed child care. Sourcewell will update the tracking log and provide monthly updates to our agency.

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

Douglas County Social Services contracts with Sourcewell to complete monitoring visits.

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

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

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

☐ 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?

Will be recorded into SSIS and complaint log.

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

Upon request, information shall be released to the public as authorized under MN Statute by Laurie Bonds, Director of Douglas County Social Services.

2. Aggregate reporting of incidents

At least quarterly, agencies must report to the Minnesota Department of Human Services the aggregate number of deaths, serious injuries, and substantiated maltreatment incidents for children under the care of legal nonlicensed (LNL) providers.

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

Douglas County Social Services contracts with Sourcewell to record and maintain accurate counts of incidents, similar to licensed providers.

VII. Special needs rates

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

Minnesota Statute,
section 119B.13,
subdivision 3

Minnesota Rules,
part 3400.0130,
subpart 3

CCAP Policy
Manual,
Chapter 9.54

A. Special needs rates for children in at-risk programs

You may choose to pay special needs rates for certain populations defined as "at-risk" in your County and Tribal Child Care Fund Plan. At-risk means environmental or familial factors exist that could create barriers to a child's optimal achievement. This could include, but is not limited to: a federal or state disaster, limited English proficiency in a family, history of abuse or neglect, a determination that the children are at risk of abuse or neglect, family violence, homelessness, age of the mother, level of maternal education, mental illness, development disability, parental chemical dependency or history of other substance use.

1. Do you pay a special needs rate for at-risk populations? ☐ Yes ☒ No

If this information changes, including additional population groups identified by your agency, new facilities, or a proposed change in rates paid, DHS must approve the change. Submit a request to amend your plan. This information will be used during case audits.

B. Special needs rates for care of sick children

You may choose to pay special needs rates for the care of sick children. Special needs rates for care of sick children apply to rates paid above the standard maximum rates to a provider that cares for sick children. You must have DHS approval for these rates to be paid.

Minnesota Rules, part
3400.0110, subpart 8

1. Do you pay a special needs rate for care of sick children?

☐ Yes ☒ No

VIII. Payment policies

A. Provider registration renewal

How often do you renew a provider's registration?

☐ Yearly ☒ Every two years ☐ Other

Minnesota Statute, section
119B.125, subdivision 1

B. Payment to two providers when a child is sick

When a child is sick and being cared for by a second provider, do you pay both the regular provider that charges an absent day and the second provider that is caring for the child?

☒ Yes ☐ No

Minnesota Statutes,
section 3400.0110,
subpart 8

Note: If the rate paid for care of sick children exceeds maximum rates, the "rates for care of sick children" must be included in the special needs rates section of this plan.

C. Submission of invoices

If a provider receives an authorization of care and a billing form for an eligible family, the provider must submit the billing form to the agency within 60 days of the last date of service on the billing form. If the provider shows good cause for the delay you may pay bills submitted after 60 days.

Minnesota Statute, section
119B.13, subdivision 6

1. What is your **definition of good cause** for delay in submitting a billing form? Agency error must be included in this definition.

Good cause for delay of bill submission will be reviewed on a case by case basis for vouchers received after 60 days. Factors taken into consideration for good cause would be county error, county delay, request for further verification, system problems, client unavailable, unforeseeable emergencies on the part of the county/provider/ or household, or other extenuating circumstances.

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

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

All providers are granted access.

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

Fraud determined.

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

Billing forms submitted through MEC2PRO.

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?

If care has ended with the provider before voucher has been submitted and the provider has made several attempts to contact the family to sign the vouchers with no success.

D. Underpayments

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

☒ Yes ☐ No

If yes, under what conditions do you make corrective payments? You may apply criteria such as a dollar amount or how far back the situation occurred.

An underpayment will be issued if it is due to agency error or it is determined by a state audit that an underpayment needs to be issued. Underpayments will be issued if discovered within one year of the error. The amount of the underpayment will be determined for the time period going back one year from the date that the error is corrected. If an underpayment is the result of a failure to report then an underpayment is not issued.

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.

CCAP supervisor will randomly select cases monthly as well as when requested by a client. Cases will be reviewed using DHS forms 5312D and 5316. If corrective actions are needed, the supervisor will inform the case worker who last worked on the case, review correct policy and then corrections will be made by the case worker.

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.

CCAP supervisor will randomly select cases monthly. Cases will be reviewed using DHS form 5312E. If corrective actions are needed, the supervisor will inform the case worker who last worked on the case, review correct policy and then corrections will be made by the case worker.

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
General provider compliance notice	<input checked="" type="checkbox"/> Agency assures compliance	<input type="checkbox"/> DHS previously approved - no changes <input checked="" type="checkbox"/> DHS previously approved - revised and needs DHS approval <input type="checkbox"/> New document - needs DHS approval

XI. County and tribal assurances

Check the designated boxes below to assure compliance.

A. The county or tribe is informing parents about the following as required under [Minnesota Rules, part 3400.0035, subpart 1](#).

- The documentation necessary to confirm eligibility for CCAP
- Waiting list information
- Application procedures
- The importance of prompt reporting of a move to another country to avoid overpayments and to increase the likelihood of continuing benefits

☒ **County or tribe assures compliance**

In addition, the agency uses the following:

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

- Families rights and responsibilities when choosing a provider

"[Do You Need Help Paying for Child Care?](#)" (DHS-3551) assures compliance with the following:

- Federal and state child and dependent care tax credits
- Earned income credits
- Other services for families with young children required by state and federal laws
- Child Care Aware services
- Child Care Assistance Program eligibility requirements
- Family copayment fees and how computed
- Information about how to choose a provider
- Availability of special needs rates
- The family's responsibility for paying provider charges that exceed county maximum payments in addition to the family copayment fee

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

B. The agency is distributing the following information to registered legal nonlicensed providers as required by:

[Minnesota Rules, part 3400.0140, subpart 5](#).

Use of "[Health and Safety Resource List for Parents and Legal Nonlicensed Providers](#)" (DHS-5192A) assures compliance with the following:

- Child immunization requirements
- Child nutrition
- Child protection reporting responsibilities
- Health and safety information required by federal law
- Child development information
- Referral to Child Care Aware; and
- Resources and training options to meet federal and/or state-required health and safety topics

☒ **County or tribe assures compliance by use of DHS-5192A**

C. Child Care Assistance Program (CCAP) Tasks and Timeframes

The county or tribe must perform tasks and meet timeframes required to administer the Child Care Assistance Program. These tasks include, but are not limited to:

- Assessing CCAP eligibility
- Registering child care providers
- Processing payments

These tasks and timeframes are required under the Child Care and Development Fund (CCDF), 98.11(a)(3) Administration under Contracts and Agreements, Minnesota Statutes 119B, Minnesota Rules 3400, CCAP Policy Manual, and MEC² User Guide.

☒ **County or tribe assures compliance**

D. Child Care Assistance Program (CCAP) Funding

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

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

☒ **County or tribe assures compliance**

E. Child Care Assistance Program (CCAP) Reporting

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

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

☒ **County or tribe assures compliance**

F. Limited English Proficiency Plan

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

☒ **County or tribe assures compliance**



Minnesota Department of Human Services
Child Care Services, Child Care Assistance Program
PO Box 64962
Saint Paul, MN 55164-0962

June 1, 2022

Laurie Bonds
Douglas County

This letter is to notify you that the Department of Human Services has amended your 2022 – 2023 County and Tribal Child Care Fund Plan. This amendment is needed to comply with federal guidance for case reviews.

If you post your Child Care Fund Plan on your agency website, this change must be posted with the approved plan. If you do not post your approved plan, include a copy of this change when your plan is requested. Update your agency's policies and procedures to reflect this amendment.

2022 - 2023 County and Tribal Child Care Fund Plan Amendment

Effective Date: 7/1/2022

Revision 1: The county or tribe ensures access to all needed documents for cases selected for case reviews performed by DHS. Agency ensures certification and submission of all required documents for the case review will be made by the Director or their delegate.

We thank you for your continued support and cooperation in making the Child Care Assistance Program a successful support for families and children in Minnesota. If you have questions or need technical assistance, please contact Annika Dommer at Annika.Dommer@state.mn.us.

Sincerely,

A handwritten signature in black ink that reads 'Stacia Rosas'. The signature is written in a cursive, flowing style.

Stacia Rosas

Child Care Assistance Program Supervisor

CC: Colleen Sibert, Brenda Lunak