



# Administration of the Child Care Assistance Program

## I. Child care assistance program contacts

### A. County agency

COUNTY NAME	GENERAL PHONE NUMBER	GENERAL FAX NUMBER
Koochiching	218-283-7000	218-283-7013
AGENCY'S FULL NAME		CCAP INTAKE PHONE NUMBER
Koochiching County Community Services		218-283-7000
MAIN OFFICE STREET ADDRESS	CITY	ZIP CODE
1000 Fifth Street	International Falls	56649
MAIN OFFICE MAILING ADDRESS (if different)	CITY	ZIP CODE

### B. County branch (if applicable)

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

### C. Agency contact people

This contact information is required to be completed and will be used by DHS staff to communicate with counties.

#### 1. County CCAP administrative contact

<input checked="" type="radio"/> Mr. <input type="radio"/> Mrs. <input type="radio"/> Ms.	FIRST NAME	LAST NAME
	Terry	Murray
TITLE	PHONE NUMBER	FAX NUMBER
Director	218-283-7000	218-283-7013
EMAIL ADDRESS	SIR EMAIL ADDRESS	
terry.murray@co.koochiching.mn.us	X136004@cty.dhs.state.mn.us	
ADDRESS	CITY	ZIP CODE
1000 Fifth Street	International Falls	56649

## 2. County client access contact

Include a lead person or multiple people that have contact with CCAP clients in your county.

<input type="radio"/> Mr.	<input type="radio"/> Mrs.	<input checked="" type="radio"/> Ms.	FIRST NAME Nan	LAST NAME Sether
TITLE Accounting Technician			PHONE NUMBER 218-283-7000	FAX NUMBER 218-283-7013
EMAIL ADDRESS nan.sether@co.koochiching.mn.us			SIR EMAIL ADDRESS X136518@cty.dhs.state.mn.us	
ADDRESS 1000 Fifth Street			CITY International Falls	ZIP CODE 56649

## 3. Management of waiting list contact

Identify the waiting list contact person in your county. The waiting list contact person identified should be responsible for maintaining the county waiting list, including being able to respond to the state's questions about particular families reported on the waiting list. If more than one person is responsible for maintaining the county waiting list, identify one person that can be contacted by state staff for the agency.

<input type="radio"/> Mr.	<input type="radio"/> Mrs.	<input checked="" type="radio"/> Ms.	FIRST NAME Nan	LAST NAME Sether
TITLE Accounting Technician			PHONE NUMBER 218-283-7000	FAX NUMBER 218-283-7013
EMAIL ADDRESS nan.sether@co.koochiching.mn.us			SIR EMAIL ADDRESS X136518@cty.dhs.state.mn.us	
ADDRESS 1000 Fifth Street			CITY International Falls	ZIP CODE 56649

## D. Subcontracted services

Counties may contract with an agency to administer all or part of their Child Care Assistance Program. If your county has a contract with another agency for the administration of any portion of your CCAP program, complete the following information. 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.

Minnesota Rules  
3400.0140, subp. 7

**A signed copy of the current contract must be included when submitting this County Child Care Plan.** If your county renews a contract or enters into a new contract between January 1, 2012 and December 13, 2013, forward a signed copy of that contract to your County Technical Liaison. DHS must retain copies of all signed contracts for audit purposes.

### 1. Subcontracted program components

Identify the CCAP components which have been subcontracted.

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

Mr.  Mrs.  Ms.

FIRST NAME  LAST NAME

TITLE  PHONE NUMBER  FAX NUMBER

EMAIL ADDRESS  SIR EMAIL ADDRESS

ADDRESS  CITY  ZIP CODE

**3. Administrative contact in subcontracted agency**

NAME OF SUBCONTRACTED AGENCY

Mr.  Mrs.  Ms.

FIRST NAME  LAST NAME

TITLE  PHONE NUMBER  FAX NUMBER  EMAIL ADDRESS

ADDRESS  CITY  ZIP CODE

**4. Client access contact in subcontracted agency**

NAME OF SUBCONTRACTED AGENCY

Mr.  Mrs.  Ms.

FIRST NAME  LAST NAME

TITLE  PHONE NUMBER  FAX NUMBER  EMAIL ADDRESS

ADDRESS  CITY  ZIP CODE

**5. Intake phone number for subcontracted agency**

Identify a public phone number that can be issued for CCAP intake at the subcontracted agency. This contact number will be posted on the DHS website.

PHONE NUMBER

## II. Eligibility

### A. Education plans under the Basic Sliding Fee Program (BSF)

- 1a. Describe your county policy for approving an acceptable course of study that will reasonably lead to full-time employment for a student applicant under the BSF program.

Minnesota Rules  
3400.0040, subp. 12

To approve the course of study, clients must be enrolled in a degree or certificate program that will lead to employment. They must provide a copy of their class schedule and a copy of their grades when the classes are completed. Approval is also based on the availability of jobs, the client's willingness to relocate for employment, and if the course of study will be the most direct path to secure employment.

- 1b. Identify the county's rationale for the above policy.

The county has expectations for the education plan to lead to employment for the client. A copy of their grades has to be submitted to the county when classes are completed. The county's standard is based on a cumulative GPA.

2. Is your county policy for approving and extending child care assistance for participants whose education programs change the same as the initial approval policy stated in A1a?

Minnesota Rules  
3400.0040, subp. 15

Yes  No

### B. Basic Sliding Fee Waiting List Management

#### 1. Priorities for Service

Has your county established priorities for the Basic Sliding Fee Child Care Assistance waiting list beyond those required in Minnesota Statutes, section 119B.03, subdivision 4?

Minnesota Statutes,  
section 119B.03, subd. 4

Yes  No

#### 2. Six Month Review of Basic Sliding Fee Waiting List

2a. MN Statutes, section 119B.03, subdivision 2 requires that counties review and update their waiting list at least every six months. Does your county review and update the waiting list:

- Six months or less from the date each individual family is added to the waiting list.  
 All families reviewed and updated at the same time at least every six months.  
 Other.

2b. Describe your county process for reviewing and updating the waiting list. Include:

- 1) How families are notified of the review,
- 2) How does the county manage families that do not respond to this review,
- 3) If families are removed from the waiting list, how are they informed of this action?

- 1) Contacted by mail
- 2) Put them on the bottom of the list
- 3) Notify them of removal from waiting list by mail.

**3. Applications that are mailed to families on the basic sliding fee waiting list:**

Counties send out applications to families on the waiting list when there is funding available to add the family to the Basic Sliding Fee Program. At what point does your county remove the family from the waiting list?

- Family is removed 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.
- Family is removed from the waiting list when the county receives 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 if no application is received.
- Other.

**4. Temporarily ineligible families on the basic sliding fee waiting list:**

MN Rules 3400.0060 subp. 6 requires that when a family advances to the top of the county's waiting list and is temporarily ineligible for child care assistance, the county shall 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 county's plan. Does your county have an alternative procedure for temporarily ineligible families who reach the top of the waiting list, other than leaving the family at the top of the waiting list for up to 90 calendar days according to priority group and serving the applicant who is next on the waiting list?

Minnesota Rules  
3400.0040, subp. 17

Minnesota Rules  
3400.0060, subp. 6

- Yes
- No

**C. Child care for job search activities**

When your county authorizes child care assistance during job search activities for families without an approved employment plan, do you:

Minnesota Rules  
3400.0040, subp. 15a

- Authorize hours requested by the participant
- Authorize a standard number of hours **determined by the county.**

NUMBER OF HOURS AUTHORIZED PER WEEK

Does your county verify the actual number of hours spent on job search?  Yes  No

How is this verified and what action is taken if there is a discrepancy between the hours authorized and the actual hours verified for this activity?

Recipient is required to provide documentation by copies of job applications, signatures from interviews, enquiries and phone log to the county bi-weekly. If this does not happen, authorized job search hours are terminated.

**III. Health and safety**

**A. Unsafe care criteria**

Minnesota Statutes, section 119B.125, subdivision 2, contains the criteria that prevent a person from being authorized as a legal nonlicensed family child care provider. This criteria includes a list of offenses that automatically bar a person from being authorized as a legal nonlicensed family child care provider. Minnesota Statutes, section 119B.125, subdivision 4, however, also allows counties to deny authorization to any provider, or to rescind an authorization of any provider, when the county knows that the provider or the care arrangement is unsafe.

Minnesota Statutes,  
section 119B.125, subd. 2

If your county applies additional conditions beyond those contained in Minnesota Statutes, section 119B.125, subdivision 2, under which a legal nonlicensed provider or legal nonlicensed care arrangement will be determined to be unsafe, list these conditions below. These conditions cannot conflict with the criteria in Minnesota Statutes, section 119B.125, subdivision 2, by providing that a conviction for a crime or offense not listed in that subdivision is an automatic bar to authorization as a legal nonlicensed family child care provider. Instead, a conviction for a crime or offense not listed in Minnesota Statutes, section 119B.125, subdivision 2, may constitute unsafe care, and therefore bar authorization, only when the conviction reflects on the provider's ability to provide care.

1. Does your county apply additional conditions of unsafe care beyond those contained in Minnesota Statutes, section 119B.125, subdivision 2 to legal nonlicensed providers or legal nonlicensed care arrangements?  
 Yes  No
2. Does your county apply the above unsafe care criteria to licensed providers as well as legally nonlicensed providers?  
 Yes  No

## B. Records of substantiated parental complaints

Describe your county's process for substantiating parental complaints concerning the health and safety of children in the care of legal nonlicensed providers.

Within 24 hours of receiving a parental complaint, the County must relay the complaint to the County's Child Protection Team or Public Health, Local Law Enforcement or other agencies with jurisdiction relating to the health and safety of a child.

How does your county:

- 1) Maintain these records of substantiated complaints, and
- 2) How is this information made available to the public when requested?

**Minnesota Rules  
3400.0140, subp. 6**

**Minnesota Statutes,  
Chapter 13**

- 1) Records of substantiated complaints are maintained in SSIS, as they would generate a child protection report and anything substantiated is maintained in this system.
- 2) Upon request, information governing substantiated complaints shall be released to the public as authorized under MN Statutes, Chapter 13.

## IV. Special needs rates

If charged by the provider, counties shall reimburse providers for the care of children with disabilities or special needs, at a special need rate to be approved by the county for care of these children subject to the approval of the commissioner of DHS.

**Minnesota Statutes,  
section 119B.13, subd. 3**

**Minnesota Rules  
3400.0130, subp. 3**

Rates paid for the care of children with special needs are allowed to exceed county maximum rates in the following special need circumstances. Please provide information on special needs rates currently paid in the following sections.

## A. Special needs rates for an individual child with a disability

Special needs rates for a child with a disability apply to the care of children who have a special need due to a disability requiring specialized services, provider training or environmental adaptations necessary to meet the needs of the child. Rates for an individual child with a disability will be determined based on the special needs of the child and the provider's ability to provide specialized services.

Minnesota Rules  
3400.0020, subp. 17a

Rates must be established on an individual basis and are specific to the care provided by the provider when requested by the parent or the provider. Rates are recommended by the county and are subject to the approval of the commissioner of DHS. See Minnesota Rules for the definition of disability.

1. Identify the provider type, rate approved and the approved rate begin date for each special need rate currently paid by your county. **Do not attach client-specific information to this plan.**

Provider type	Rate	Rate schedule	Approved rate begin date

2. Does your county have a county specific process for approving rates requested for the care of individual children with special needs? This process would have been previously approved by the commissioner and does not require that the commissioner approve the individual rate paid.

Yes  No

## B. Special needs rates for children in at-risk programs

Special needs rates for programs that care for children in an at-risk population group apply to the care of children with significant environmental or familial factors that create barriers to a child's optimal achievement. When four or more providers offer the same specialized care for the same at-risk population group in a like environment, the county shall identify and pay the 75th percentile rate, the rate negotiated with the provider by the county, or the provider rate, whichever is less. See Minnesota Rules for the definition of at-risk.

Minnesota Rules  
3400.0020, subp. 9a

1. Identify the provider type, rate approved, the approved rate begin date and the identified population group for each rate paid above the county maximum rate for children in an at-risk population. **Do not attach client-specific information to this plan.**

Provider type	Rate	Rate schedule	Approved rate begin date	Description of at-risk population

2. Does your county have a county specific process for approving rates requested for the care of children in an at-risk population? This process would have been previously approved by the commissioner and does not require that the commissioner approve the rate paid.

Yes  No

## C. Special needs rates for care of sick children

Special needs rates for care of sick children apply to rates charged above the county maximum by a provider that cares for sick children.

Minnesota Rules  
3400.0110, subp. 8

1. Identify the provider type, rate approved and the approved rate begin date for each special need rate currently paid above the county maximum when care is for a sick child. **Do not attach client-specific information to this plan.**

Provider type	Rate	Rate schedule	Approved rate begin date

2. Does your county have a county specific process for approving rates paid for the care of sick children? This process would have been previously approved by the commissioner and does not require that the commissioner approve the rate paid.
- Yes  No

## V. Payment policies

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

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

Minnesota Rules  
3400.0110, subp. 8

- Yes  No

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

### B. Background checks for legal nonlicensed providers

CCAP requires that counties complete a criminal background study on all legal nonlicensed child care providers and persons residing in their households. Refer to MN Statutes 119B.125; 235C; and 245A.

Minnesota Statutes,  
section 119B.125

Minnesota Statutes,  
section 245A

1. Does your county charge a fee to unlicensed providers for the costs involved when completing the required criminal background check?

- Yes  No

How much does your county charge for the required background check?

- per family \$ 50.00  per person

2. How often does your county reauthorize providers?

- Yearly  Every Two Years  Other

3. Does your county request background information from other counties when a provider is registered in another county?

- Yes  No

EXPLAIN HOW THIS INFORMATION IS USED BY YOUR COUNTY

This information is used to conduct complete background checks.

### C. Provisional payment of legal nonlicensed providers

Does your county issue provisional authorization and payment to legal nonlicensed providers during the time necessary to receive and review the results of the statutorily required criminal investigation and determine whether to give final approval to the provider?

Yes  No

Minnesota Rules  
3400.0120, subp. 2

Minnesota Rules  
3400.0110, subp. 2a

### D. Submission of invoices

Minnesota Statutes, section 119B.13, subdivision 6 states that if a provider has received an authorization of care and been issued a billing form for an eligible family, the billing form must be submitted to the county within 60 days of the last date of service on the billing form. A county may pay a bill submitted after this 60-day limit if the provider shows good cause for the delay. Counties must define good cause in their child care plans and this definition must include county error. A county cannot pay a bill submitted more than one year after the last date of service.

Minnesota Statutes,  
section 119B.13, subd. 6

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

County error must be included in this definition. Koochiching County will pay vouchers that are submitted after the 60 day limit if it is due to county error. Definition of Good Cause would include but not be limited to: natural or catastrophic disaster, death in the provider or family household, illness of provider, or other documented situations that are out of parent or provider's control. Koochiching County will not pay a bill submitted more than one year after the last date of service on the bill.

2. Identify any circumstances when a provider signature is not needed on a billing form.

Provider signature is required in all situations.

3. Does your county require the parent signature on the voucher?  Yes  No

Identify any circumstances when a parent signature is not needed on a billing form.

A parental signature would not be required if the parent has left the county without a forwarding address or any way of contacting them.

If your county is using MEC<sup>2</sup> PRO, explain how this requirement is met with the use of electronic billing.

N/A

Explain how your county monitors the requirement in 3. for billing forms submitted through MEC<sup>2</sup> PRO.

N/A

### E. Underpayments

When your county determines that you have underpaid a provider, do you make corrective payments?  Yes  No

## F. Expansion of the statewide absent day policy

Has your county chosen to expand the state absent day policy for children in families where at least one parent is under the age of 21, 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, as well as parenting, social services, career and employment supports, and academic support to achieve high school graduation upon request of the program and approval of the county?

Minnesota Statutes, section 119B.13, subd. 7

Yes  No

## VI. Program integrity

**A.** One of the most successful tools in attaining and maintaining high payment accuracy is a good case management review system. Case management reviews can help to determine root cause(s) of errors and therefore identify specific areas needing corrective action, such as policy clarification, refresher training, changes in office procedures, improved case record documentation, etc.

There are a number of different approaches to case management reviews. For example a full case review would encompass all aspects of a family's CCAP case information and/or a child care provider's information. A targeted review is focused on specific elements within a case, a specific policy or error prone areas.

1. Does your county conduct case management reviews of CCAP cases?  Yes  No
2. Does your county conduct case management reviews of CCAP child care provider files?  Yes  No
3. If you answered "yes" to numbers 1 or 2, does your agency complete full reviews, targeted reviews, or both? (counties must submit their case review protocols (process) and forms if using their own instead of the DHS Case Management Review protocol and forms)

Case Reviews:  Full reviews  Targeted reviews  Both

Provider Reviews:  Full reviews  Targeted reviews  Both

4. What percentage of CCAP cases and child care providers are reviewed?

Case Reviews:  %  Month  Quarter  Other

Provider Reviews:  %  Month  Quarter  Other

5. Describe your county's process for each of the following. If completing both "Full" and "Targeted" reviews, describe the following factors for each type of review separately:

- 1) Selecting files to be reviewed,
- 2) Conducting the reviews,
- 3) The forms used in the review process and
- 4) Resolving errors, if any, found during the reviews.

Koochiching will begin target reviews in 2012.

## B. Provider rates

Does your county enter provider rates on MEC?  Yes  No

## VII. Other county responsibilities

**A.** Describe your county methods for providing information on the availability of child care assistance to individuals, child care providers, social service agencies, local news, etc. to ensure families are aware of the availability of the assistance.

Minnesota Rules  
3400.0140, subp. 2

Families are made aware of childcare assistance funding through Koochiching County Community Services Financial Assistance and Social Service Departments, Public Health, the Minnesota Workforce Center, Head Start, and other agencies that serve children and families. Childcare providers also make families aware of the programs. Brochures are placed at several area organizations that serve families and children.

**B.** Describe ways that your county collaborates with other community based programs and service providers 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 the identified service and program providers as you work to facilitate transition of these children into kindergarten.

Minnesota Statutes,  
section 119B.08, subd. 3(1)

Koochiching County Community Services and the many agencies in the area are "natural" collaborators due to the remote locations of our area and the minimal services available. Service providers that work with children and families are all aware of other programs and services available and assist families in obtaining these services.

**C.** Identify any other county policies that apply to the child care assistance program which are not specifically required by state or federal rule or law.

Minnesota Rules  
3400.0140, subp. 1

Minnesota Rules  
3400.0150, subp. 2

**D.** Minnesota Statute states that the county and designated administering agency shall submit a biennial child care plan which includes a description of procedures and methods used to make copies of the proposed plan reasonably available to the public and allow sufficient time for public review and comment prior to submission of this plan to DHS for approval. Describe procedures and methods that were used by your county to make copies of this plan reasonably available to the public and the time that was allowed for public review and comment.

Minnesota Statutes,  
section 119B.08, subd. 3(2)

The Child Care Fund Plan is made available to the public by posting it on the Koochiching County Website, as well as providing it in a binder in our lobby. An ad will be run in the local print media soliciting public comment through August 12, 2011; at this time, we will amend the plan if there are recommendations that should be incorporated prior to submitting the final plan to DHS for approval.

**E.** List below and attach any **new and/or amended** county forms, agreements/contracts or other written documents and materials that have not been previously approved or standardized through MEC<sup>2</sup> that are used in your county for the administration of the child care assistance program. Submit only the items that have not been previously submitted and approved. If a county policy handbook is submitted, only those unapproved sections that are not found in the CCAP Policy Manual, MEC<sup>2</sup> User Guide, Do You Need Help Paying for Child Care (DHS-3551), and the MN CCAP Child Care Provider Guide (DHS-5260) should be submitted. Forms standardized through MEC<sup>2</sup> do not need to be submitted.

**F.** Does your county post your approved County Child Care Plan on your county website?

Yes  No

PROVIDE THE WEB ADDRESS WHERE IT CAN BE FOUND

[http://www.co.koochiching.mn.us/dept/com\\_serv/Kooch%20Child%20Care%20Plan%202012%20-%202013.pdf](http://www.co.koochiching.mn.us/dept/com_serv/Kooch%20Child%20Care%20Plan%202012%20-%202013.pdf)

## VIII. County assurances

By checking the designated boxes below in items A and B, the county assures compliance with applicable consumer and provider education requirements. It is not necessary for the county to attach copies of this material to this plan.

### A. The county is informing parents about the following as required under Minnesota Rules 3400.0035, subp 1.

- Federal and state child and dependent care tax credits
- Earned income credits
- Other services for families with young children
- Child care resource and referral services
- Child care assistance program eligibility requirements
- The documentation necessary to confirm eligibility
- Waiting list information
- Procedures for making application for CCAP
- Family copayment fees and how computed
- Information about how to choose a provider
- Families rights and responsibilities when choosing 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; and
- The importance of prompt reporting of a move to another county to avoid overpayments and to increase the likelihood of continuing benefits.

**County assures compliance**

### B. The county is distributing the following required information to registered legal nonlicensed providers:

Distribution requirements may be accomplished by giving the materials directly to the provider, or to the parent and establishing a method to ensure that the provider receives the material. Minnesota Rules 3400.0140, subp. 5.

- Child immunization requirements
- Child nutrition
- Child protection reporting responsibilities
- Health and safety information
- Child development information
- Referral to child care resource and referral agency

**County assures compliance**

**SUBMIT BY E-MAIL**