

POLICIES AND PROCEDURES

SECTION 3-ALTERNATIVE PAYMENT PROGRAM

2017-19

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

| | | |
|-----------------|---|----|
| PART I | PROGRAM OVERVIEW | |
| A | How to Qualify for Services | 1 |
| B | How Families are Selected for the Programs | 2 |
| C | Enrollment Process | 3 |
| D | Eligibility and Need | 4 |
| E | Share of Cost | 10 |
| F | Maintaining Enrollment | 12 |
| | | |
| PART II | ALTERNATIVE PAYMENT PROGRAM PARENT POLICIES AND PROCEDURES | |
| A | Reimbursement Policy | 14 |
| B | Limited Term Service Leave (LTSL) | 19 |
| C | Confidentiality | 20 |
| D | Release of Information | 20 |
| E | Fraud Policy | 20 |
| F | Grievance Policy | 21 |
| G | Uniform Complaint Policy | 21 |
| H | Sexual Harassment | 22 |
| I | Zero Tolerance | 22 |
| J | Termination Policies | 22 |
| K | Notice of Action and Appeal Process | 23 |
| | | |
| PART III | PROVIDER PARTICIPATION | |
| A | General Requirements - Parental Choice | 24 |
| B | Oliver's Law | 27 |
| C | Rate Sheets | 27 |
| D | Child Care Agreement | 28 |
| E | References to Written Information | 28 |
| F | Limitations on Child Care Reimbursement | 28 |
| G | Multiple/Alternate Providers | 29 |
| H | Participant's rights to Change Providers & Rights to Terminate Services | 30 |
| I | Provider's Rights to Terminate Services | 30 |
| J | CSB's Rights to Terminate a Provider | 30 |
| | | |
| PART IV | STAFF ROLES AND RESPONSIBILITIES | |
| A | Stage 2/CAPP Unit Clerks | 31 |
| B | Stage 2/CAPP Unit Child Care Assistant Managers (CCAM) | 32 |
| C | Stage 2/CAPP Unit Manager – (CSM) | 32 |
| D | Stage 2/CAPP Fiscal Support (Accountant III) | 33 |
| E | Stage 2/CAPP Program Manager (ASA III) | 34 |

Part I. Program Overview

The purpose of this program is to provide subsidized child care for eligible children and families living in Contra Costa County and to provide a wide range of child care choices for participants. The CalWORKs Stage 2 child care program is limited to those participants who are in receipt of or have received CalWORKs cash assistance within the last twenty four (24) months. Our California Alternative Payment Program (CAPP) assists families referred by Children and Family Services and low-income families. Both of these programs support families in their child care decisions and make timely payments to their chosen child care providers.

CSB operates in accordance with all applicable state and federal laws governing human service agencies. Directed by the California Department of Education Title 5 regulations, CSB administers the child care subsidy program on a non-discriminatory basis, giving equal treatment and access to services without regard to race, color, creed religion, age, sex, national origin, sexual orientation, disabilities, or any other category that is prohibited by law.

For participants/families/providers that do not speak English, the Child Care Assistant Manager will provide, if available, translated materials, or upon request will provide an interpreter to explain the materials in the language the participants/family/provider prefers.

Children can be served from birth up until their 13th birthday, or up to age 21 if special needs are verified with appropriate documentation.

CSB CalWORKs Stage 2 & CAPP child care program administers subsidized child care through a vendor approach, providing full or partial payments for child care of eligible participants. These programs are designed to maximize parental choice in selecting child care. Participants may select child care services from licensed centers and preschools, licensed family child care homes, or licensed-exempt providers. Subsidized child care does NOT pay for private schooling.

A. How to Qualify for Services

There are various ways that families can qualify for our programs. There are two distinctly subsidized programs that CSB administers, CalWORKs Stage 2 and CAPP (California Alternative Payment Program).

1. CalWORKs Stage 2:

This program is the second out of three stages from the CalWORKs child care services. CalWORKs Stage 2 child care services begins when the county welfare department determines that a CalWORKs Stage 1 family is stable and transfers the family to our CalWORKs Stage 2 program for continuation of child care services.

Families that are not participating in CalWORKs Stage 1 child care services may be eligible in receiving CalWORKs Stage 2 if a family applies and is found eligible by meeting the following criteria:

- Family is and remains income eligible *and*

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

- Participant is responsible for the care of the child needing child care services *and*
- Participant is a CalWORKs cash aid recipient or a former cash aid recipient who received cash aid within the last 24 months *or*
- Participant is determined eligible for diversion services by the county welfare department.
- *And* Participants must have a documented need(s) for child care

The twenty-four (24) month period begins when the participant leaves cash aid. For example, if a participant's last date of cash aid was January 31st, 2015, the participant is eligible in receiving CalWORKs Stage 2 until January 31st, 2017 (as long as family remains income eligible and maintains a need for child care). Upon approaching the twenty-four month period, families will be transferred to CalWORKs Stage 3 child care. It will be the responsibility of the Child Care Assistant Manager to work with the participant to determine the appropriate stage for child care services. The twenty-four (24) month period resets when the participant begins receiving CalWORKs cash aid.

Please Note: Families receiving CalWORKs cash aid for child aid only are not eligible for CalWORKs Stage 2. Families that are not eligible for CalWORKs Stage 2, will be placed on a waiting list for CAPP, if funding is not available.

2. CAPP (California Alternative Payment Program):

Families may be eligible for CAPP funding based on need and eligibility criteria (such as low income working families), with first priority for those children currently receiving child protective services, or those children who are considered at risk of abuse, neglect or exploitation by a legally qualified professional. Participants must maintain eligibility and need while enrolled in CAPP. Enrollment is based on available funding.

B. How Families are selected for the Programs

There are various ways that families may be selected to participate in one of our programs. Families are enrolled based on the following (*all enrollments are subject to availability of funding*):

- Families may be referred to CSB for enrollment from *Children and Family Services* (CFS), if child is receiving child protective services and it is stated on referral that child care is deemed a necessary part of the service plan.
- Families may be enrolled through an eligibility list maintained by CSB for families wanting to participate in subsidized child care. These lists rank families on their income and family size to ensure the most eligible family is being served at the time of enrollment. (All families with CPS, or at-risk referrals, will be enrolled as 1st priority.)
- Families may be transferred to Stage 2 child care services from the Stage 1 child care unit upon discontinuance of cash assistance or when families have been considered stable by their previous child care worker. Families may also be enrolled directly into Stage 2 child care if the family is deemed Stage 2 eligible and meet the eligibility and need criteria.

C. Enrollment Process

Based on the availability of funding, families will be notified by phone if they are selected to participate in our program. For those families referred by Children and Family Services or for those deemed At-Risk, our office will contact the referring individual to verify the child's need and begin communication regarding enrollment to better support the needs of the family.

Intake Packet for the CalWORKs Stage 2 & CAPP Child Care Program will be mailed to the participant applying for services. Participants may be scheduled for an appointment to review all documents being submitted. Participant must provide all requested information and documentation to determine initial and ongoing eligibility within the timeframe given.

Intake Packet may be completed electronically by the participant by the due date indicated by CSB staff. Digital signature by the participant is accepted, however, participant must comply with CSB's policies.

- At the time of appointment, participants will be required to bring documentation that may include, but is not limited to, the following:
 - Birth records for all children counted in the family size
 - One month current/consecutive paycheck stubs
 - Any other income received such as Cash Aid, Unemployment, Disability, etc.
 - Verification of need for child care such as employment, vocational training, or parental incapacity
 - Immunization records for non-school age children (if chosen provider is non-licensed)
 - If applicable, an active individual family service plan (IFSP) or individualized education program (IEP) for children with special needs that includes a statement signed by a legally qualified professional that the child requires the special attention of adults in a child care setting which also includes the name, address, license number and telephone number of the legally qualified professional who is rendering the opinion
 - Any other verification documentation as requested by the Child Care Assistant Manager to determine the families need and eligibility for services.

Upon completion of the Child Care Application, the assigned Child Care Assistant Manager will review and verify the information provided by the participant.

Once services are reviewed, verified and approved, the Child Care Assistant Manager will issue a *Notice of Action* (NOA) to the participant and send a copy to the chosen provider indicating certification has been completed. Along with the Notice of Action, the participant will receive one *Child Care Agreement* per child.

- The Child Care Agreement(s) will outline the following:
 - The effective date of the Child Care Agreement
 - The end date of the Child Care Agreement
 - Name of the Participant

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

- Name of the Child
- Monthly Family Fee *if applicable* (See Family Fee section for more information)
- Authorized Days
- Authorized Hours
- Payment Rate
- Maximum Payment Amount CSB can reimburse
- Co-payment *if applicable* (See Co-Payment section for more information)
- Authorized Child Care Provider
- Type of Child Care Provider
- Registration Fee *if applicable* (Licensed Providers only)

Important: If child care starts before child care services or provider has been approved by the Child Care Assistant Manager, it will be the participant's responsibility to pay the provider directly for any child care services rendered before child care services has been approved.

For those families transferred from CalWORKs Stage 1 to our CalWORKs Stage 2 child care program, a *Welcome Packet* will be mailed to the participant explaining the transfer has occurred. The packet will contain a letter indicating the effective date of transfer, the contact information for the family's assigned Child Care Assistant Manager and request time sensitive documents to be reviewed, signed and returned by the participant to their assigned Child Care Assistant Manager. The following documents in the Welcome Packet will include: Stage 1 to Stage 2 Transfer Certification Form, Child Care Agreement(s), the Participation Handbook, attendance sheets, and any other documents pertaining to the case. A copy will be mailed to the child care provider(s) on file. The participant will be asked to verify initial eligibility for the Stage 2 program and notify us of any changes to the information we received from Stage 1. This verification must be returned to the Child Care Assistant Manager within ten (10) days or the family may risk termination of their child care services.

D. Eligibility and Need

1. Eligibility:

Is determined at the time of enrollment, recertification or upon an update on the participant's application because of a reported change. The participant is required to provide to the Child Care Assistant Manager the appropriate documentation to prove their eligibility and continued eligibility for child care. One or more of the following criteria determines their eligibility for child care services.

i. Income Eligibility:

If the income is equal to or less than 70 percent of the state median income. Participants will be required to provide supporting documentation for all total countable income. Listed below are the income guidelines by family size:

| Family Size 1-2 | Family Size 3 | Family Size 4 | Family Size 5 | Family Size 6 | Family Size 7 | Family Size 8 |
|-----------------|---------------|---------------|---------------|---------------|---------------|---------------|
| \$3,283 | \$3,518 | \$3,908 | \$4,534 | \$5,159 | \$5,276 | \$5,394 |

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

- The Child Care Assistant Managers will calculate the total gross monthly income of the family based on, but not limited to, the following:
 - Gross wages or salaries, advances, commissions, overtime, tips, bonuses, gambling or lottery winnings
 - Wages for migrant, agricultural, or seasonal work
 - Public cash assistance (TANF/Cash Aid)
 - Gross income from self-employment less business expenses with the exception of wage draws
 - Portion of student grants or scholarships not identified for educational purposes as tuition, books, or supplies
 - Disability or unemployment compensation
 - Workers compensation
 - Spousal and/or child support received from the former spouse or absent parent, or financial assistance for housing costs or car payments paid as part of or in addition to spousal or child support
 - Foster care grants, payments or clothing allowance for children placed through child welfare services
 - Financial assistance received for the care of a child living with an adult who is not the child's biological or adoptive parent

ii. Homelessness:

If the basis of eligibility is homelessness, documentation is needed stating that the participant is homeless and a description of the family's situation from a local shelter, a legally qualified professional from a medical or social service agency, or a written parental declaration written by the participant.

iii. Child Protective Services:

If the basis of eligibility is Child Protective Services, a written referral by the county welfare department must be provided to our agency indicating that the child is currently receiving CPS services and child care is a necessary part of the service plan. The referrals must be dated within six (6) months prior to the date of application for services. The referral must also include:

- The probable duration of the CPS service plan
- The hours approved for child care services
- The name and signature of the child welfare services worker who is making the referral, their business address and telephone number

iv. At Risk of Abuse/Neglect:

If the basis of eligibility is that the child is deemed at-risk of abuse/neglect, a written referral by a legally qualified professional from a legal, medical, or social service agency must be provided to our agency indicating that child care is needed to reduce the risk. The referral must be dated within (6) months prior to the date of application for services. The referral must also include:

- The probable duration of the at risk situation
- The hours approved for child care services
- The name, signature and license number of the legally qualified professional who is making the referral, their business address and telephone number

v. Transferring from CalWORKs Stage 1 to CalWORKs Stage 2 child care (Cash aid recipient or discontinuing from cash aid):

If the participant is transferring from Stage 1 to Stage 2, initial documentation will be required at the time of transfer to certify immediate eligibility from participant. Upon receiving appropriate documentation, participant's eligibility for child care will be extended. Participant will be asked to provide documents for recertification within six (6) months of the effective transfer date.

2. Family Size:

Upon completion of participant's initial application, recertification or upon an update in family size, participant will need to provide supporting documentation for all children listed in the family. The family members may be documented by the following:

- Birth records; or
- Court ordered child custody agreements; or
- Adoption records; or
- Foster care placement records; or
- School or medical records; or
- County welfare department records; or
- Any other reliable document indicating the relationship of the child to the parent

When only one (1) parent has signed the child care application and the documentation provided for family size determination indicates the child(ren) in the family has another parent whose name does not appear on the application, then parent may self-certify single parent status under penalty of perjury.

- If due to a recent departure of a parent from the family, the remaining applicant may submit a self- declaration under penalty of perjury explaining the recent departure of a parent from the family.
 - The Child Care Assistant Manager may require further documentation at any time to prove the absence of a parent from family and/or verify the family composition and family size.

3. Service Need:

Families who are income eligible to receive subsidized child care must also have, at minimum, one of the following service need to become enrolled or remain enrolled in our program. All participants/guardians listed in the family size must have a service need. Hours of care provided to the family will be determined by the family's need for services. Below are the service needs:

i. Child Protective Services (CPS):

If the need for child care is based on CPS, a written referral by the county welfare department must be provided to our agency indicating that the child is currently receiving CPS services and child care is a necessary part of the service plan. The referrals must be dated within six (6) months prior to the date of application for services. The referral must also include:

- The probable duration of the CPS service plan
- The hours approved for child care services
- The name and signature of the child welfare services worker who is making the referral, their business address and telephone number

ii. At-Risk:

If the need for child care is based on the child(ren) being at risk of abuse, neglect, or exploitation, a written referral by a legally qualified professional from a legal, medical, or social service agency must be provided to our agency indicating that child care is needed to reduce the risk. The referral must be dated within (6) months prior to the date of application for services. The referral must also include:

- The probable duration of the at risk situation
- The hours approved for child care services
- The name, signature and license number of the legally qualified professional who is making the referral, their business address and telephone number

iii. Parental Incapacity:

If the basis of need for child care is parental incapacity (temporary or permanent), documentation shall include a release signed by the incapacitated participant authorizing a legally qualified health professional to disclose information necessary indicating why the participant is incapable of providing care and supervision for the child(ren). The documentation must also include the following:

- The days and hours per week that services are recommended (Child care services cannot exceed 50 hours per week)

- The probable duration of the incapacitation
- If incapacitation is a physical condition, a statement from a legally qualified health professional indicating to the extent to which the participant is incapable of providing care and supervision for the children is required
- The name, business address, telephone number, professional license number and signature of the legally qualified health professional

iv. Employment:

If the basis of need for child care is employment, families may receive child care services during the time they are working and traveling to and from work. To qualify for child care services under this need, participants would need to submit the following documentation:

- An employment verification form – completed and signed by the participant consenting CSB staff to contact their employer to verify employment.
- One month's worth of current and consecutive pay stubs (*if new employment, income will initially be assessed based on the employment verification form upon verifying employment with employment*)
- If participant is paid in cash by their employer, participant will provide a letter from the employer verifying the following:
 - An employment verification form – completed and signed by the participant's consenting CSB staff to contact their employer to verify employment.
 - Statement declaring employee is paid in cash only
 - Self-certification of income from participant
- If the participant is self-employed, the participant will provide the following:
 - A declaration under penalty of perjury that includes a description of the nature of their employment and an estimated number of days and hours worked per week
 - Copies of appointment logs, client receipts and/or mileage logs to demonstrate the days and hours worked
 - As applicable, copy of their business license, or workspace rental agreement
 - As applicable, a list of clients with contact information
 - Provide documentation to establish income (*may include but not limited to, a list of clients and amounts paid, the most recently completed tax returns, other records of income to support the reported income, along with a self-certification of income*)

Please Note: Participants employed by child care centers, or assisting family care home providers may receive services, but those participants who are licensed providers registered with Community Care licensing are not eligible to receive child care services for their own child(ren).

v. Approved Welfare to Work Activity (*For Stage 2 Participants receiving Cash Assistance*):

The Welfare-to-Work (WTW) Program is a comprehensive Employment and Training Program designed to promote self-sufficiency. CalWORKs recipients are assessed to determine the best course of action, whether it is immediate placement into a job, placement into an education or training program, or both.

CalWORKs recipients must participate in the Welfare-to-Work Program or be employed in order to determine need for CalWORKs Stage 2. All Welfare-to-Work participants receive an orientation to the program and appraisal of their education and employment background, followed by the development of a Welfare-to-Work plan designed to assist individuals with obtaining employment. Employment Specialist will forward a referral to the Child Care Assistant Manager in order for child care services to be approved. For any additional hours of child care, the participant must communicate with their Employment Specialist in order for activity to be approved by their worker as well as approval for child care services.

vi. Training Towards Vocational Goal:

If the basis of need for child care is training towards a vocational goal, families may be eligible for child care services if the participant(s) are enrolled in a program that will directly lead to a recognized trade or profession. There is a six (6) year limitation for services under this need and the participant must continue to make adequate progress towards their goal. Regardless of the length of time a participant needs to complete their training, child care services must not exceed the six (6) year time limit. To qualify for child care under this need, participants must submit the following documentation:

- Training Verification Form to be signed by registrar (or designee of program). This form includes such information as name and location of school/training institute, days and hours of class/training schedule, vocational goal of parent, etc. *If a printout of current class schedule is available, registrar does not need to sign.*
- A copy of the current class schedule if available in electronic print, if not this information may be indicated on the verification form listed above.
- The anticipated completion date of all required courses/trainings to meet the vocational goal of the parent.
- Each semester/quarter, participant will be required to submit their grades to show they are meeting adequate progress towards their vocational goal.
- Participant may request hours for study time for any academic course(s) enrolled. Participant and Child Care Assistant Manager will discuss the hours of study time.

vii. Actively Seeking Employment:

If the basis of need for child care is seeking employment, each participant in the home may qualify for child care services during the time they are actively seeking employment. Services

must not exceed sixty (60) consecutive working days within a fiscal year (July 1st through June 30th) and are limited to no more than five (5) days per week and for less than thirty (30) hours of child care per week. Participants seeking employment will be required to submit a self-declaration under penalty of perjury that they are currently looking for employment. This declaration will include their plan to secure, change or increase employment and a general description of the child care hours necessary during this time. The Child Care Assistant Manager may request verification of the job search and/or interviews at any time.

If participant is simultaneously receiving services based on employment or vocational training while receiving services for seeking employment, they may be eligible for an additional 20 working days. Child care services shall not exceed 80 working days per fiscal year for seeking employment.

- Seeking Permanent Housing – Families receiving services through the one of the programs may be eligible for child care if they are trying to secure permanent housing to stabilize the family. Services must not exceed sixty (60) consecutive working days within a fiscal year.

(July 1st through June 30th) and are limited to no more than five (5) days per week and for less than thirty (30) hours of child care per week. The participants will be required to submit a self-declaration under penalty of perjury that describes their plan to secure adequate housing for the family and a general description of the child care hours necessary during this time.

E. Share of Costs

1. Family Fees:

Some families may be required to pay a portion of their child care costs, this is called the “family fee”. These fees are paid by the participant directly to their child care provider. Family fees are determined using the “*Family Fee Schedule*” provided by the California Department of Education (CDE). The following determines a participant’s family fee:

- Family’s gross monthly income
- Family Size
- Child’s Certified Need

Based on the above criteria, families will be assessed either a flat monthly full-time fee or a flat monthly part-time fee based on participant’s certified need. If certified need is 130 hours or more per month, the Full-Time Monthly Fee will be assessed to the participant. If the certified need is less than 130 hours per month, the Part-Time Monthly Fee will be assessed to the participant.

Example: If participant is approved on the 20th of the month and is certified for 8 hours per day, participant’s certified need for the month approved will be less than 130 hours. Therefore a flat Part-Time Monthly Fee will be assessed for the month participant was enrolled and a flat Full-Time Monthly Fee will be assessed on the following month and thereafter.

If there is more than one child enrolled in the program, the child who uses the most hours of child care

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

will be assessed the monthly fee. Monthly fees cannot under any circumstances, be recalculated based on a child's actual attendance. The collected family fee is part of the provider's reimbursement. The family fee is deducted from the provider's reimbursement each month. The Child Care Assistant Manager will issue a notice of action anytime there is a decrease, an increase or a new family fee with the effective date of change along with the updated Child Care Agreement. An informational copy will be sent to the provider.

Example: If participant reports a change in income due to a change of employment to the Child Care Assistant Manager, the Child Care Assistant Manager will reassess participant's income. If at the time of updating participant's income, it is determined that they will have an increase or new family fee, the Child Care Assistant Manager will issue a Notice of Action to the participant. The family fee will be effective on the first day of the month after the 19 day appeal request period is exhausted.

Monthly Fees are due at the beginning of each month. Provider will declare on the monthly attendance record that the monthly fee have been paid for the month of services rendered. The provider shall issue a receipt to the participant of the amount family fees were paid. The monthly fee assessed by the Child Care Assistant Manager will still be deducted from the provider's reimbursement each month regardless if provider waives or collects a different amount each month.

- The following exceptions apply in paying family fees:
 - Families with children at risk of abuse, neglect or exploitation as determined by a legally qualified professional in a legal, medical, or social services agency or emergency shelter (limitation is up to three (3) months).
 - Child Protective Services (CPS) families may be exempt from paying a fee if child development services are determined to be necessary by the county welfare department (limitation is up to twelve [12] cumulative months)
 - Families receiving CalWORKs (limitation is as long as family is receiving cash aid)

2. Co-Payments

A participant may choose a child care provider regardless of the provider's rates. If the participant chooses a provider who charges more than the maximum subsidy amount CSB can reimburse, the participant will be responsible to pay the difference directly to the provider. This difference is referred to as a "co-payment". The maximum subsidy amount CSB can reimburse is determined by the California Department of Education (CDE) reimbursement ceiling guidelines. It will be the provider's responsibility to collect payment from the participant. If applicable, the provider will declare on the monthly attendance sheet that co-payments have been paid for the month of services rendered.

Example: *Participant's approved certified need for child care is 25 hours per week for their two (2) year old. Participant's child care provider who is a Licensed Family Day Care Home charges \$200 per week for Part-Time Care (less than 30 hours per week). Based on participant's certified need, CSB will only be able to reimburse the maximum subsidy amount of \$171.51 per week for Part-Time care. Therefore, participant will be responsible to pay their provider the difference of what CSB cannot cover which is \$28.49 per week.*

Please Note: Family Fees and Co-payments are two different shares of costs. If participant has a Family Fee and a Co-Payment, participant will be responsible in reimbursing both the Family Fee and Co-Payment directly to their provider. Failure to reimburse any shares of cost mentioned above to the child care provider may result in termination.

F. Maintaining Enrollment

1. Recertification

- After initial approval, participants are required to recertify their child care services once every three (3) to twelve (12) months, or more frequent depending on their need for services:
 - For participants receiving child care services because the child is at risk of abuse, neglect or exploitation shall be recertified within (3) months from their initial certification. The need must not be At Risk of abuse, neglect or exploitation at the time of recertification.
 - For participants receiving child care services because of actual abuse, neglect, or exploitation, shall be recertified at least every six (6) months and at that time of recertification, the contractor shall document that the family is participating in a protective service plan.
 - For participants that transferred from CalWORKs Stage 1 to CalWORKs Stage 2, child care services shall be recertified within six (6) months from the date of transfer. Once recertification has been completed by CSB, recertification shall be completed at least once a year not to exceed twelve (12) months.
 - All other participants shall be recertified at least once a year not to exceed twelve (12) months or more frequent depending on their need for services.

CSB Staff will mail a *Recertification Packet* to be completed within a specified amount of time. Participants are responsible to ensure that all requested documents are submitted before the due date. If participant submits an incomplete recertification packet by the due date requested, their child care services may be denied. CSB staff will attempt to request the missing documentation before the participant's certification end date or prior to the thirtieth (30th) day from date of participant's signature on the Child Care Application for Services Form (whichever comes first).

If a recertification packet is not submitted within the timeframe given, a Notice of Action will be issued to the participant terminating their child care services at the end of their contract period. If a recertification packet is submitted after the termination Notice of Action has been mailed out to the participant, the packet will be viewed as a reapplication of child care services. Application will be forwarded to the intake specialist to be reviewed and determine approval or denial of care. There may be a lapse in services if application packet is not completed.

Recertification Packet may be completed electronically by the participant by the due date indicated by CSB staff. Digital signature by the participant is accepted, however, participant must comply with CSB's policies.

2. Reporting Changes

It is the participant's responsibility to report any changes to their family size, income, if participant has been discontinued from cash aid, need for services, address, contact phone numbers, or any other information with regards to their need and eligibility within five (5) calendar days of the change. Examples of change in need for services may include but are not limited to: a change in employment, a change of hours in employment, starting or ending a training, loss of employment, child's school schedule change, leave of absence from employment due to incapacitation, etc. To better accommodate a participant's child care needs, it is crucial to report any changes to the Child Care Assistant Manager. Participant must call their Child Care Assistant Manager to report the change.

Upon notifying the Child Care Assistant Manager, the Child Care Assistant Manager will request the documentation in writing to be submitted by the participant within ten (10) calendar days from the date letter was mailed. It is the participant's responsibility to submit the requested documents within the due date. Otherwise, a Notice of Action will be issued terminating child care services for failure to submit documentation.

- Failure to notify the Child Care Assistant Manager of any change within the five (5) calendar days of the change will result in the following:
 - First Offense: A verbal warning will be given to the participant from their Child Care Assistant Manager when participant fails to report a change for the first time. The effective date of the change will be on the day the change was reported by the participant. If the change reported to the Child Care Assistant occurred more than thirty (30) calendar days from notification, CSB may reimburse up to a maximum of thirty (30) calendar days from when the change first occurred (not from when the Child Care Assistant Manager was notified). Any days CSB will not reimburse, it will be the responsibility of the participant to reimburse the provider directly.
 - Second Offense: Participant will be terminated from the child care program. A Notice of Action will be mailed to participant and a copy to the provider on record terminating child care services nineteen (19) days from the date of issuance. No change in the Child Care Agreement will be made.

3. Fee Payment/Repayment Plans

All family fees are to be collected by the child care provider. Due dates for these fees will at the beginning of each month, and payment will be acknowledged on the monthly attendance sheets. Fees are delinquent seven (7) calendar days from the due date. It is the provider's responsibility to collect all fees from the participant and notify the Child Care Assistant Manager if fees have not been paid. Upon receipt of notification that the participant has outstanding fees due to the provider, the Child Care Assistant Manager will issue a Notice of Action terminating child care services for Delinquent Family Fees. Participant will have nineteen (19) calendar days to pay the debt owed to the provider, or submit a written reasonable repayment plan signed off by both the participant and provider. If repayment plan is submitted within the nineteen (19) calendar days of the termination

notice, child care services will be rescinded. The participant must comply with the repayment plan in order for child care to continue. However, if the provider notifies the Child Care Assistant Manager that the participant is failing to comply with the repayment plan, the family will be terminated from the program.

4. Alternative Payment Program Policies and Procedures

By abiding to the policies and procedures outlined in the Participation Handbook, participant may retain their child care services as long as they are eligible to participate. Any violation of the program regulations may result in termination from the program

Part II. Alternative Payment Program Parent Policies and Procedures

A. Reimbursement Policy

1. General Description

Participants are responsible for the accurate completion of the CSB attendance sheets (CCARE5). Attendance Sheets are provider's form of reimbursement. CSB can only reimburse for childcare services, not private school tuition, educational fees, transportation, diapers, clothing items, or other expenses that are not part of the basic child care cost.

Below are criteria for accurate and reimbursable attendance sheets:

- Only original hard copy or electronic attendance sheets will be accepted (one attendance sheet per child and provider). Participant may request additional attendance sheets by calling the main office, emailing the unit or calling their Child Care Assistant Manager. Photocopies of an attendance sheets and faxed copies will not be accepted.
- The full name of the child receiving services must be provided on the attendance sheets.
- The month/year must be reflected on the attendance sheet
- The specific dates services were provided must be entered on the attendance sheets.
- Attendance sheets must be filled out DAILY. This means each day the participant (or authorized adult) must record the ACTUAL TIME IN when dropping off the child, and again record the ACTUAL TIME OUT when picking up the child. Participant shall not round off the time; the actual time of pick up must be recorded. For school age child(ren) only or split schedule: The provider/authorized representative must sign school age children in and out from school on the attendance sheet using the exact drop off/pick up times.
- The participant must state the reason of child's absence from care (*see absence policy for further information*).
- Signatures and/or date of signatures of both the provider and the participant at the end of each month, attesting under penalty of perjury, that the information provided on the attendance sheet is accurate.

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

- Should participant make a mistake on the attendance sheet, they should simply cross out the error, initial it and write in the correct information. Correction tape shall not be used or information shall not be transferred to a new attendance sheet. The original attendance sheet must be submitted for reimbursement.

Complete and accurate attendance sheets are due by 5pm on the fifth (5th) day of each month following the month in which services were rendered. If the fifth (5th) day falls on a weekend, or holiday, attendance sheets will be due by 5pm on the next business day following the fifth (5th). For families with a varied schedule, all required documentation requested such as paystubs and/or work schedule verifications must be received with the attendance sheet on or before the fifth of each month to ensure timely reimbursement. Payments for correct and accurate attendance sheets received by the fifth (5th) of the month will be processed no later than the last day of the month. Any attendance sheet submitted after 5pm on the fifth (5th) day of the month may be processed no later than the last day of the following month. For example, an attendance sheet submitted on August 7th may not be processed and mailed until September 30th.

2. Incomplete Attendance Sheet(s)

If an attendance sheet is incomplete or have missing documentation required for a reimbursement to be processed, a Provider Reimbursement Notice (PRN) will be issued to the participant and a copy to provider indicating that the reimbursement was not made because of the following reason:

- Missing Work Schedule Verification (if required on a monthly basis)
- Missing Paystubs (if required on a monthly basis)
- Missing Signature and/or date of signature from either the participant or the provider at the end of each month, attesting under penalty of perjury, that the information provided on the attendance sheet is accurate
- The full name of the child receiving services must be provided on the attendance sheets (if it occurs more than once, participant or provider must come into the office for completion)
- The month/year is not reflected on the attendance sheet (if it occurs more than once, participant or provider must come into the office for completion)

Important: If an attendance sheet is received on or before the fifth (5th) of the month, but is missing one or more of the items listed above, and depending upon the date of completion, the attendance sheet will be considered late and may be processed the following month.

3. Invalid Attendance Sheet(s)

The California Department of Education (CDE) code of regulations 10865(b)(1) requires that attendance sheets be filled out properly by the participant or other adult authorized by the participant. CDE has directed all child care contractors to develop a policy to ensure that attendance sheets are completed on a daily basis using actual times. This policy will be strictly enforced when attendance sheets are submitted that appears to have not been filled out on a daily basis with ACTUAL TIME IN and ACTUAL TIME OUT.

In an effort to support participants and providers and to comply with all regulations, the following three

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

step policy shall be implemented when suspect attendance sheets are received:

Step 1: Participant will be contacted by the Child Care Assistant Manager to verbally warn them the problem with the attendance sheet and explain how to complete the form correctly. Participants will be advised the next time this occurs, they will receive an advisory letter.

Step 2: An Advisory Letter will be sent to the participant, and copied to the provider, that explains the exact problem with the attendance sheet and includes information on how to complete the form correctly. Participants will be advised the next time this occurs they will be asked to come in to the office to review attendance sheet procedures with their Child Care Assistant Manager.

Step 3: An appointment will be set up between the participant and Child Care Assistant Manager to review attendance sheet policies. The participant will be advised should the problem occur a fourth time, they will be terminated from the program for failure to comply with program policies. At this time the provider will be mailed a letter indicating the participant has been to our office or via telephone to review policies and has been warned of possible termination.

Step 4: Participant will be terminated from the child care program. Participant and provider will receive appropriate documentation regarding termination.

At the beginning of each fiscal year (July 1st), any steps participant previously had will reset. Participant will start at Step 1.

4. Definition of Broadly Consistent

In an effort to ensure the full use of the certified child care, participant's hours of care on the attendance sheet must be broadly consistent with the child care agreement. Broadly consistent is defined as participant's utilization for child care being between eighty (80%) to one hundred twenty (120%) percent from the certified child care agreement.

Example: If the certified need for the month of February is a maximum of 180 hours per month, utilization for child care must be no less than 144 and no greater than 216 hours for February in order for CSB to reimburse without contacting participant.

- When the participant's utilization of the certified child care agreement falls below the 80% or over 120% threshold, the following shall occur:
 - The participant will be called to discuss the low or high use of child care based on the monthly attendance sheet submitted. If a change has occurred without notification to the Child Care Assistant Manager, the Child Care Assistant Manager will follow the Five (5) Day Reporting Policy.
 - For participants with a variable schedule and/or unpredictable schedule, reimbursement will be based on the actual days and hours for which services were provided, but no more than the maximum certified need for services.

Please Note: Absences due to illness or emergency will be considered prior to Child Care Assistant

Manager contacting the participant. On a case by case, Child Care Assistant Manager may contact the participant if child has excessive absences on a monthly basis.

5. Absence Policies

Reimbursement for services is based upon the certified need for child care services. The Child Care Program pays for “excused” absences for the purpose of determining whether hours are broadly consistent with certified need. Excused absences include, but are not limited to child’s illness, parent illness, doctor’s appointments, or a family emergency, etc. In order to be reimbursed for excused absences, participants must specify the reason for absence on the monthly attendance sheet. *This does not apply to child care in which the provider charges an hourly rate or has a drop-in rate.*

Excused Absences: Providers must be sure that participant(s) state the specific reason for absence of the child(ren) on the attendance sheet. *(This does not apply to child care in which the provider charges an hourly rate or has a drop-in daily rate.)* The participant will be required to submit written documentation such as doctor’s note or parent note, with the monthly attendance sheet, justifying a child’s absence if it is five (5) or more consecutive days.

The following are excused absences:

i. Illness:

- Child Illness
- Parent Illness
- Quarantine of child or parent
- Dental, doctor, or therapy appointment (for child or parent)

ii. Family Emergency:

- Parent must note explanation of family emergency. May include, but is not limited to, death, funeral, sibling illness, close of work or training facility due to natural disaster, etc.

iii. Parental Jury Duty:

- Parent must provide legal documentation

iv. Court Ordered Visitations:

- Copy of Court Order must be on file if the excused absence is based on time spent with a parent or other relative as required by a court of law.

v. Vacation:

- These would include time for a child to be with a parent or relative (i.e. vacation, visitation from a non-custodial parent/family member or participation in cultural or religious holidays). The reason for absence must be specified on the attendance sheet. CSB will not pay for unexcused absences. The provider may charge and obtain payment directly from the parent for these absences.

Child care providers must notify Child Care Assistant Managers when a child is absent for five (5) or more consecutive days (on the fifth day) and when the participant has failed to contact their provider with the reason for the child's absence. Failure to report to the Child Care Assistant Manager may result in the termination of participant and provider from participating in the program.

6. Reduction in Reimbursement

It is the intent of CSB to reimburse child care providers for the care provided. However, there are limitations in which CSB cannot reimburse child care providers. The following are possible examples that reimbursement will be reduced by CSB:

- Excessive Absences without documentation (five or more consecutive absences)
- Participant started child care services prior to approval from the Child Care Assistant Manager
- Provider was NOT available to provide child care (includes when the provider is sick, days not listed on the Provider Self Declaration, etc.)
- Participant failing to report a change in their need for child care (See Reporting Changes)
- Any child care used by the participant when the hours and/or days of child care fall outside of the Child Care Agreement
- Using child care services when days/hours do not reflect the Work Schedule Verification and/or paystubs (days will result in zero hours)
- If participant fails to submit requested documentation in a timely manner stated on the Provider Reimbursement Notice by Child Care Assistant Manager (such as written documentation for excessive absences was not submitted within the timeframe given to the participant from the Provider Reimbursement Notice. See Denial of Reimbursement).

The provider must notify CSB if a participant withdraws from care without advance notice, has been absent for five (5) or more days without knowledge, or if provider has knowledge of a change of parental or family status including change of address, income, employment and/or marital status. Failure to report information to the Child Care Assistant Manager may result in the participant and/or the provider from being terminated from the child care program.

The provider may charge the participant and obtain payment directly from the participant for these absences. It is the participant's responsibility to pay any charges for unauthorized care to the provider.

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

A Provider Reimbursement Notice (PRN) will be issued to the participant and a copy to provider regarding a reduction for the above reasons.

7. Denial of Reimbursement

Attendance sheets may not be reimbursed and may be denied by CSB for any, but not limited to, the following reasons:

- They are received sixty (60) days after the month of which services were rendered (*i.e. an April attendance sheet received in July will not be reimbursed*).
- *If required on a monthly basis for reimbursement*, a Work Schedule Verifications and/or Paystubs are received sixty (60) days after the month of which services were rendered.
- If after sixty (60) days after the month of which services were rendered, parent or provider fails to complete the full name of the child receiving services on the attendance sheet.
- If after sixty (60) days after the month of which services were rendered, parent or provider fails to complete the month/year on the attendance sheet.
- If after sixty (60) days after the month of which services were rendered, parent and/or provider fails to sign or date under penalty of perjury, that the information provided on the attendance sheet is accurate.
- If participant fails in a timely manner to submit requested documentation stated on the Provider Reimbursement Notice by Child Care Assistant Manager (such as written documentation for excessive absences was not submitted within the timeframe given to the participant from the Provider Reimbursement Notice).
- Provider was not approved at the time child care services were provided, no exceptions.
- Participant or child were not approved at the time child care services were provided, no exceptions.

A Provider Reimbursement Notice (PRN) will be issued to the participant and a copy to provider regarding a non-reimbursement for the above reasons. Exceptions may apply to some of the above reasons, however, must be approved by a supervisor prior to reimbursement.

Important! If there are two consecutive months in which the reimbursements are pending because of missing required documentation (i.e. Work Schedule Verification, paystubs, tip sheets, etc.), it may result in termination. Any services that CSB cannot reimburse will be the participant's responsibility to reimburse directly to their provider.

B. Limited Term Service Leave (LTSL)

A family may request a leave of absence from the program if the family temporarily does not have a need for subsidized child care. They may contact their Child Care Assistant Manager to request the leave over the phone or submit a written request for a temporary leave from services. CSB may grant the family a limited term service leave for no more than twelve (12) consecutive weeks per fiscal year, except when the participant is on a maternity or medical related leave of absence from his/her

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

employment or vocational training.

Maternity leave, or medical limited term service leave, shall not exceed sixteen (16) consecutive weeks in duration. During this time no child care services shall be provided nor be claimed for reimbursement. Participants may be required to provide documentation from their physician prior to going on leave and again when released.

At the time of authorized reinstatement, when the service leave ends, CSB cannot pay another registration or other new provider charges.

Please Note: It is important to remember that providers do not have to hold child care spaces throughout the leave and participants may need to seek a new child care provider(s) upon their return from leave.

C. Confidentiality

The use or disclosure of information about the child and his/her family is limited to purposes directly connected with administering the program. When helping participants/families move to another subsidized program, information about the participant/family may be exchanged and the other program or provider is then bound by these same confidentiality guidelines. Participant or their authorized representatives may review the case file upon request and at the time and place considered reasonable by CSB. Participant may only review the forms or other documentation/information that they have provided CSB and are in their own case file.

When a Contra Costa County employee or a client to whom an employee has a relationship with as defined above is applying or receiving child care services, the case will be considered Confidential. Employees will not process any action involving their own case, or the cases of family members or those with whom they have a relationship like a family member or close friend. Employees who are not sure if there is a conflict of interest should check in advance through their supervisor to ensure that this policy is not violated. Files considered confidential will be locked in a designated location of which only the authorized employees and supervisors will have access.

D. Release of Information

CSB is authorized to discuss information regarding the family's child care services and eligibility with other agencies as appropriate. Examples may include but not limited to other Social Services Programs, CFS, employers, schools, child care providers, licensed physicians. Prior written consent from the participant may be asked by CSB. The participant's eligibility may be reviewed by representatives of the State of California, the Federal Government, independent auditors, or others as necessary for the administration of the program.

E. Fraud Policy

Fraud is the knowing misrepresentation of facts made with the intent to obtain something to which one is not entitled. Fraud exists when an individual:

- Makes a false statement or representation to obtain benefits, or continuation of

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

- benefits that they are not eligible to receive
- Fails to disclose information, which if disclosed would result in denial, reduction, discontinuance of child care benefits
- Accepts benefits knowing she/he is not entitled to them

The California Department of Education (CDE) requires that CSB create a Fraud Policy, which applies to program participants and providers receiving reimbursements through CSB. If fraud is suspected, CSB will initiate investigation, pursue collection of payments and may seek legal assistance made through fraudulent participant and/or provider action.

Any participant or provider whose participation is terminated under the Fraud Policy will not be eligible to participate in the CSB CalWORKs Stage 2 & CAPP Child Care Program for a minimum of twelve (12) months. Any past debts or expenses must be paid in full prior to return.

F. Grievance Policy

It is the policy of CSB to resolve any participant or provider grievances. What is a grievance? A grievance is a complaint over a situation or an action to be deemed wrong or unfair. There will be no retaliation, formal or informal, against the participant and/or provider who file a grievance. All participants and/or providers are encouraged to first speak with the Child Care Assistant Managers to attempt to resolve any issues that may arise. If the issue is not resolved to the participant and/or provider's satisfaction, the participant and/or provider may file a written request within ten (10) calendar days from the date of complaint. The written request should be submitted to the Program Supervisor.

Upon receiving participant and/or provider's written request, the Program Supervisor will review the complaint and meet with the participant and/or provider by phone, or by appointment, to discuss the issue within ten (10) calendar days of receiving the complaint. If the participant and/or provider still feels dissatisfied, they may submit a written request for the issue to be elevated to a staff at least one level higher than the Program Supervisor who made the contested decision. The participant and/or provider will be contacted within ten (10) calendar days of receiving the complaint and given an opportunity to present their concerns. The decision at this level will be final.

G. Uniform Complaint Policy

It is the intent of the Community Services Bureau to fully comply with all applicable state and federal laws and regulations.

Individuals, agencies, organizations, students and interested third parties have the right to file a complaint regarding Community Services alleged violations of federal and/or state laws. This includes allegations of unlawful discrimination (ED Code Sections 200 and 220 and Government Code Section 11135) in any program or activity funded directly by the State or receiving federal or state financial assistance. Complaints must be signed and filed in writing with:

The California State Department of Education Early Education
and Support Division Complaint Coordinator

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

1430 N Street, Suite 3410
Sacramento, CA, 95814

If the complaint is not satisfied with the final written decision of the California Department of Education, remedies may be available in federal or state court. The complainant should seek the advice of an attorney of his/her choosing in this event.

A complainant filing a written complaint alleging violations of prohibited discrimination may also pursue civil law remedies, including, but not limited to, injunctions, restraining order, or other remedies or orders.

H. Sexual Harassment

It is the policy of Contra Costa County to maintain a work, service and program environment free of discrimination, harassment, or intimidation based on sex, gender, age, race, religion, national origin, ancestry, marital status, sexual orientation, disability or medical condition. These policies are also mandated by state and federal law. It is the policy of the Community Services Bureau to comply with all applicable state and federal statutes and regulations prohibiting discrimination in employment, contracting, buildings, facilities, and provision of services. Reports of violations of these policies will be promptly investigated and appropriate disciplinary action taken if warranted.

I. Zero Tolerance

CSB prohibits inappropriate behavior towards staff, or in the presence of families, children or providers on the program. Such use of abusive/foul language, intimidating actions (including belligerent emails and voicemails), physical harassment, destruction of property, threats to staff, etc., will be documented and may lead to termination from the program.

J. Termination Policies

Child Care services may be terminated for any, but not limited to, the following reasons:

- Failure to maintain required need and/or eligibility for the program with which the family is enrolled
- Failure to inform the Child Care Assistant Manager within five (5) days of changes that affect the families need and/or eligibility to retain services
- Failure to recertify in a timely manner
- Failure to pay family fee or co-payment
- Failure to make payments to licensed exempt in-home providers in a timely manner
- Failure to use services for sixty (60) consecutive days, or two (2) consecutive months
- Failure to submit A Work Schedule Verification and/or Paystubs for two (2) consecutive months
- Failure to submit requested documentation
- Violation of the Zero Tolerance policy towards staff
- Failure to comply with the State mandates requirements of the program
- Families income exceeds the state income ceiling

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

- Children are no longer age appropriate for the program with which they are enrolled, and family cannot provide required documentation to maintain services past that age (i.e. IEP)
- Failure to maintain a 2.0 GPA if services are based on a vocational training need
- Failure to abide by attendance policies and reimbursement guidelines
- Contract funding has been exhausted

K. Notice of Action and Appeal Process

Whenever CSB approves, denies, terminates or updates a change regarding participant's child care, CSB will issue the participant a Notice of Action and send an informational copy to the provider(s). The Notice of Action will notify the participant of the following:

- Tell participant what action is being taken (approval, denial, recertification, change or termination)
- The reason for the action
- The effective date of the action
- The date participant has to appeal CSB's action

If a participant disagrees with an action taken by CSB, the participant may file an appeal request for a hearing with Employment and Human Services Department Appeals Unit. To request a hearing, participant must complete the back page of the Notice of Action no later than the appeal's date on the first page of the notice and mail or deliver the notice to the following address:

*Office of Appeals Coordinator
400 Ellinwood Way
Pleasant Hill, CA 94523
(925) 677-2900*

At the local hearing, the Appeals Officer will explain the reason for the hearing and will ask both CSB representative and participant to swear under oath. The hearing will be recorded by the Appeals Officer. CSB will state the reason for the Notice of Action and provide any supporting documentation that supports their action. The participant or authorized representative will be able to explain the reason why they think the action on the Notice of Action is wrong. The participant may bring any documentation that supports their reason why the action was wrong.

The Appeals Officer will make a decision based on the information provided at the hearing. Within ten (10) calendar days after the local hearing, the Appeals Officer will mail their written decision.

If the participant disagrees with the written decision of the local hearing, the participant may request a review of the local decision by the California Department of Education. The request must include the following information:

- A copy of both sides of the original Notice of Action with which participant disagrees
- A copy of the written decision letter from the local hearing; and
- A statement explaining why participant disagrees with the local Appeals Officer's decision.

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

Participant may mail, fax or deliver their request within fourteen (14) calendar days from the date of local agency's decision letter to the following address:

California Department of Education Early Education and Support
Division ATTN: Appeals Coordinator
1430 N Street, Suite 3410
Sacramento, CA 95814
Phone: (916) 322-6233
Fax: (916) 323-6853

CDE will review the information provided and may contact the participant or CSB if necessary. CDE will have thirty (30) calendar days to make a decision and mail a final decision letter to the participant and CSB. CDE's decision is the final administrative decision and CSB will follow CDE's decision.

Part III. Provider Participation

A. General Requirements - Parental Choice

CSB policies provide for parental choice in selecting a child care provider. Participants are responsible for selecting the child care provider and the type of care, which they feel best, meets the needs of the family and meets enrollment requirements. However, CSB may reserve the right to deny or terminate a provider for the health and safety of the child/ren. Participants also have the right to change providers (up to two [2] changes per fiscal year) while they are participating in the child care program (unless the participant can provide reasonable concerns for more changes). Participants may choose the following types of care while enrolled in one of our programs:

1. Licensed Child Care Centers, Licensed Exempt Centers & Licensed Family Child Care Homes

Child care centers and family child care homes are all licensed by the California Department of Social Services Community Care Licensing division, which ensures all standards of health and safety criteria are being met. These programs will be required to submit and comply with the following:

- A complete Child Care Provider & Parent Statement by both the participant and provider
- A complete Agreement For Direct Payments To Child Care Providers by both the participant and provider
- A complete Provider Self Declaration listing a maximum of ten (10) non-operational days charged to families
- A copy of their current license
- A copy of their current policies, rules and rates
- A complete W-9 Form (request for Taxpayer Identification Number and Certification)
- Provide services to all eligible children on a non-discriminatory basis, giving equal

treatment and access to services without regard to race, color, creed, religion, sex, national origin, or any other category that is prohibited by law

- Providers must report observed and/or suspected child abuse to the local police departments and/or Children and Family Services and refrain from all forms of punishment, cruelty, and/or physical/corporal punishment
- Providers must maintain confidential child and family records and other information with the exception of authorized disclosures to CSB staff or other authorized State or Federal agency staff in accordance with the law
- Allow CSB to visit licensed facilities if requested
- Provide care for children only during the period authorized
- Enter into Child Care Provider Agreement with CSB as an independent contractor and in no way be considered an employee of CSB or any of its funding sources
- Hold CSB harmless for any damages to person(s), or property, which arise out of the delivery of services under agreement with CSB
- A statement signed by the provider that the child care and development services being provided do not include religious instruction or worship.
- Sign the CalWORKs Stage 2 & CAPP Child Care Participation Program Handbook Acknowledgement of Receipt understanding and following CSB's policies

2. Licensed-Exempt Providers

Licensed-exempt providers are not licensed by the State of California. Participants are responsible for hiring, terminating services, and setting up the days and hours when care will be used. Licensed-exempt child care providers must be on the Trustline Registry or be exempt from Trustline in order to participate as an approved child care provider. The following are types of License-Exempt Providers:

- License Exempt Providers Exempt from Trustline
Who is exempt from Trustline? Providers who are the child/ren's grandparent, aunt or uncle by blood, marriage or court decree are exempt from the Trustline registration. Participant and provider must complete the Trustline Exemption Form as well as provide proof of relationship between the child and the provider.

Example: If the chosen provider is the child's grandparent, the participant may submit their birth certificate to demonstrate that provider is their parent and therefore the child/ren's grandparent.

If no documentation can be provided, the grandparent, aunt or uncle must complete the Trustline Registration Process and be cleared and placed on the Trustline Registry before services can be approved by the Child Care Assistant Manager.

- License Exempt Providers not exempt from Trustline
License exempt providers not exempt from Trustline, must go through the Trustline

Registration Process to get fingerprinted through the Department of Justice (DOJ) and the Federal Bureau of Investigation (FBI). The provider must be cleared and placed on the Trustline Registry prior to child care services being approved. Participants must contact their Child Care Assistant Manager to request a Trustline Application.

- Provisional License Exempt Providers (not exempt from Trustline)

In cases where the participant has an immediate need for child care services, the participant is allowed to select a provisional child care provider. However, the Provisional child care provider must go through the Trustline Application Process to get fingerprinted through the Department of Justice (DOJ) and the Federal Bureau of Investigation (FBI). The provider **MUST** be cleared and placed on the Trustline Registry within thirty (30) days in order to be eligible for reimbursement. If the provider is not cleared within the thirty (30) days, no reimbursement can be given for any child care services provided. Services will be approved on the day provider was cleared and placed on the Trustline Registry.

Participants must also submit the following documentation regarding their chosen license exempt provider:

- A complete Child Care Provider & Parent Statement by both the participant and provider (indicating the hours and rate of pay for child care)
- A complete Agreement For Direct Payments To Child Care Providers by both the participant and provider
- Health and Safety Self-Certification Form indicating the following:
 - The provider's name, date of birth, address, phone number and social security number
 - A description of the provider's qualifications and experience
 - A health statement, including Tuberculosis clearance
 - A statement from the parent that he/she has interviewed and approve of the provider
 - Names and ages of all other adults residing in the home where the child care is provided
 - All forms signed by both the parent and provider, as appropriate
 - The location where the care is to be provided
- Health & Safety Facility Checklist (a supplement to the Health & Safety Self Certification form)
- A complete W-9 Form (request for Taxpayer Identification Number and Certification)
- A copy of provider's California driver's license or a valid California ID verifying the provider to be at least eighteen (18) years of age
- A copy of provider's Social Security Card
- Provide care for one (1) family at a time and only during the period authorized

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

- Enter into Child Care Provider Agreement with CSB as an independent contractor and in no way be considered an employee of CSB or any of its funding sources
- Hold CSB harmless for any damages to person(s), or property, which arise out of the delivery of services under agreement with CSB
- Sign the CalWORKs Stage 2 & CAPP Child Care Participation Program Handbook Acknowledgement of Receipt understanding and following CSB's policies
- In-Home Child Care Provider (*for In Home Licensed Exempt Providers only*)

License-exempt providers must only provide care for only ONE family at one time other than their own. If it is found that a license-exempt provider is providing care for two (2) or more families at one time, they may be terminated as a provider and the families will need to find an alternate provider.

In Home Licensed Exempt Providers – Since child care providers are independent contractors and therefore not employees of CSB, CSB is not held responsible for federal and state tax obligations. If it is determined that the child care provider performs child care in the home where the child resides, the participant may be considered to be the employer of the child care provider (domestic worker) and will be responsible to ensure the child care provider receives minimum wage, social security taxes, state worker's compensation and unemployment requirements. In order to ensure that minimum wage is being met, the participant must have at least four (4) children receiving child care services. In-home licensed exempt child care may be subject to Federal and California laws pertaining to household employees.

Please Note: Families transferring directly from CalWORKs Stage 1 to CalWORKs Stage 2 that have an In Home Licensed Exempt Provider will be given a timeframe to find alternate child care. 1099 Hotline - Contact (877) 375-0312, during tax season if 1099 is not received.

B. Oliver's Law

Participants have the right to receive information regarding any substantiated or inconclusive complaint about any licensed child care provider. That information is public and can be acquired by calling Contra Costa County's local licensing office at (510) 622-2602.

C. Rate Sheets

Licensed Providers shall submit a statement of their current rates to CSB. Rates must be the same for both subsidized and private paying families. If the provider charges more than the current Regional Market Rate allows CSB to pay, the participant will be responsible to pay the difference directly to the provider. If a provider offers any discount for siblings, the subsidized family will offered the same discount.

Providers must submit a written thirty (30) calendar day advanced notice addressed to the Program Supervisor of any changes to their rates; all rate increases are subject to availability of funds. New rate increases will take in effect thirty (30) calendar days after receipt of notice. CSB will only accept one (1) rate change from providers per fiscal year (July 1st – June 30th).

D. Child Care Agreement

Upon approval or update of child care services, the Child Care Assistant Manager will issue a Notice of Action indicating initial approval for services or change in services and will be accompanied by a *Child Care Agreement* that will outline the schedule approved for services as well as indicate if the child has a Family Fee and/or Co-payment. It is the participant's responsibility to review the approved child care agreement and notify the Child Care Assistant Manager of any questions.

Important: If provider starts providing services before the agreement has been approved, the participant will be responsible to reimburse for any services rendered before the certificate start date on the *Child Care Agreement*.

E. References to Written Information

All providers are subject to the general policies described in the CalWORKs Stage 2 & CAPP Child Care Participation Program Handbook. Providers are encouraged to become familiar with the parental requirements, as well as those identified for child care providers.

F. Limitations on Child Care Reimbursement

1. Regional Market Rate (RMR)

Beginning January 1st, 2017, California Department of Education required all agencies to implement ceilings at the 75th percentile of the 2014 Regional Market Rate Survey. Licensed exempt child care is reimbursed up to 70% of the Family Child Care Home rates. This is referred to as the Regional Market Rate (RMR). (*This rate is subject to change, if directed from the California Department of Education (CDE).*)

Children attending less than thirty (30) hours of child care per week will be reimbursed at the part-time benefit ceiling and children attending thirty (30) hours or more will be reimbursed at the full time benefit ceiling. Those families that have variable schedules will be assessed by the Child Care Assistant Manager and assigned the most appropriate ceiling for their needs.

Should the participant choose a provider with a rate exceeding that exceeds the maximum subsidy amount, the participant will be responsible in paying the difference. This is referred to as a co-payment. This is paid by the participant to the provider directly and not accounted for by CSB (see example on Share of Cost-Co-Payments).

If the provider has a registration fee (*licensed providers only*) the rate for reimbursement will be determined by State guidelines and may be paid no more than once a fiscal year if the provider meets eligibility requirements.

2. Provider Days of Non-Operation

CSB will only reimburse for up to ten (10) days of non-operation (per fiscal year) to a licensed provider when the center, or family child care home, is closed if they fall on a contracted day. The provider **MUST** list the days of non-operation on the *Provider Self Declaration* form to be eligible to receive payment. If

more than ten (10) days are listed, Child Care Assistant Managers will review the non-operational days with provider to determine which of the ten (10) would be reimbursed. Days of non-operation may include, but are not limited to the following:

- Holiday (i.e. New Year's Day, Christmas, Labor Day)
- Provider Vacation Days
- Staff Training/Development Days

This does not apply to child care in which the provider charges an hourly rate or has a drop-in rate.

3. Instructional Minutes for School Age Children

Providers will NOT be reimbursed for child care provided for a school age child/ren care during instructional minutes, whether they are attending public or private schools.

4. Reduction or Denial of Reimbursement

See Reimbursement Policy.

G. Multiple/Alternate Providers

CSB can only reimburse one provider per child for child care services. However, there are some exceptions:

1. If a family's need exceeds the hours of operation of the first provider, the participant may add an alternate provider to cover the hours the primary provider is closed. Child Care Assistant Manager must approve the alternate child care provider prior to the use of care. CSB will contract separately with the alternate provider for child care services. If participant begins the use of alternate provider before approval from Child Care Assistant Manager, participant must reimburse alternate provider for any unauthorized care.
2. If a child's usual child care provider is closed, or if the child is sick and cannot attend the usual care, the participant may request to seek an alternate child care provider. Child Care Assistant Manager must approve the alternate child care provider prior to the use of care. CSB will contract separately with the alternate provider for child care services. Upon approval of the alternate provider, reimbursement for alternate provider when primary provider is closed is limited to 10 days per fiscal year. Reimbursement for alternate provider when child is sick and cannot attend primary provider is also limited up to 10 days per fiscal year. CSB may make an exception based on the illness and if participant provides written documentation from physician.

H. Participant's Rights to Change Providers & Rights to Terminate Services

Participants have the right to change their providers, up to two (2) per fiscal year, unless they can provide the Child Care Assistant Manager with reasonable concerns for more changes. CSB asks all participant to provide a written (preferable), or verbal, two (2) week notice to their licensed provider regarding the termination of care. The Child Care Assistant Manager will follow up with any notifications necessary.

Should the participant not give a two (2) week notice to the licensed provider, CSB will work with the licensed provider and offer any reimbursement as required by the licensed provider's established policies and procedures submitted with the initial approval of care (not to exceed two [2] weeks). Participants will be terminated from the program.

IMPORTANT: The attendance sheet must meet the minimum requirements in order to honor the two week notice when the participant does not give a two week notice to their child care provider. See *Reimbursement Policy*.

I. Provider's Rights to Terminate Services

A licensed provider may terminate services with cause in adherence to his/her established policies and procedures and with a two (2) week advance notification to the participant and the Child Care Assistant Manager. Should a licensed provider terminate a family without notification, CSB will not reimburse any days past the child's last day of care.

J. CSB's Rights to Terminate a Provider

CSB reserves the right to terminate a provider from participation with or without a two weeks' notice. Reasons for termination may include but are not limited to the following:

- Child/ren's health and safety is at risk (*all providers*)
- Closure or denial of Trustline Registry (*licensed-exempt providers*)
- Child care license revoked (*licensed providers only*)
- Falsifying attendance sheets in any manner (*all providers*)
- Charging subsidized families more than non-subsidized families (*licensed providers only*)
- Providing care for more than one family other than their own at one time (*licensed-exempt providers*)
- Using abusive language and behavior to staff, children or participants (*all providers*)

2017-19
Policies and Procedures
Section 3: Alternative Payment Program
Part IV Staff Roles and Responsibilities

A. Stage 2/CAPP Unit Clerks

- Administrative Support to Unit Managers
 - Program Calendars
 - Form Revisions
 - Mass Mailings
 - Other clerical tasks as assigned by Assistant Managers
 - Complete Reports (such as 801 A Report)
- Reimbursement Calculations
 - Collect, review and distribute incoming CCAREs to appropriate staff
 - Perform initial reimbursement calculations for Assistant Managers
- Incoming Phone Calls
 - Check and empty Stage 2/CAPP Unit General Voicemail
 - Return all calls within 24 hours of retrieving the message
 - Answer and forward calls to appropriate staff member
- Mail Process
 - Log all incoming mail in database
 - Forward mail to appropriate staff member
- Scanning Process/Document Record Keeping
 - Scan and Index all documents into Northwoods Compass database
- Stage 1 Transfers
 - Prepare and send Welcome Packets
 - Prepare Family Files
 - Coordinate with Unit Manager on case assignments
- Intake Applications
 - Prepare and mail intake packets
 - Collect and verify all documentation
 - Forward packet to appropriate Assistant Manager upon completion

2017-19
Policies and Procedures
Section 3: Alternative Payment Program

- Family Recertification's
 - Prepare and mail recertification packets
 - Collect and verify all documentation
 - Forward packet to appropriate Assistant Manager upon completion
- Suite Support
 - Monitor office supplies
 - Monitor Postage Meter
 - Monitor office equipment

B. Stage 2/CAPP Unit Child Care Assistant Managers (CCAM)

- Case Management
 - Initial intake for new/transferred families
 - Verify documents
 - Coordinate with referring agencies about prior case information
 - Review selection of provider(s)
 - Monitor families need and eligibility
 - Family/Provider Correspondence as needed
 - Recertify families need/eligibility for services at minimum once annually
 - Termination procedures where appropriate
- Process Reimbursements
 - Review calculations
 - Process payments into CalWIN system for fiscal review/release
- Attend Appeals hearing if needed
- Monitoring/Audits/Reviews
 - Quarterly monitoring of selected family files
 - Assist Unit Manager with fiscal and/or state audits and reviews of program
 - Prepare family files as needed for reviews

C. Stage 2/CAPP Unit Manager – (CSM)

- Reports
 - Monthly Report to Program Director
 - Monthly liaison to fiscal
 - Fiscal Audits/State Reviews as scheduled

Section 3: Alternative Payment Program

- Personnel
 - Supervise Student Worker Assignments
 - Supervise Field Intern Assignments
 - Supervise Clerks
 - Supervise Child Care Assistant Managers
- Program Handbook
 - Revisions per CDE regulations
 - Annual Update if applicable
- CDE Regulations
 - Monitor Management Bulletin Releases
 - Participate in CDE conference calls regarding program regulations as needed
 - Review Title 5 and Education Codes as they pertain to program implementation.
- Client/Provider Correspondence
- Stage 1 Transfer Process
 - Monitor incoming Stage 1 transfer process
 - Assign cases to CCAMs
 - Review potential cases to be transferred out to Child Care Council
- Monitoring
 - Review monthly reimbursements
 - Monitor CCAM Caseloads
 - Review terminations
 - Monitor Unit calendar
- Miscellaneous
 - Order office supplies for Suite
 - Approves requests for equipment/work orders

D. Stage 2/CAPP Fiscal Support (Accountant III)

- Review and release payments to providers in CalWIN in the absence of Program staff
- Monitor program budgets
- Release payments for Maintenance of Effort contracts
- Submit to State CDE/EESD monthly Fiscal and Caseload reports
- Submit to CDE projection request for additional funding in excess of MRA
- Submit year-end financial reports and schedules to External Auditors
- Correspond with Unit Manager/Program Manager

E. Stage 2/CAPP Program Manager (ASA III)

- Program Support for CDE/EESD Programs
- State Correspondence/Management Bulletins
- Liaison with CDE/EESD
- Monthly Monitoring
- CDE/EESD Contract initiation/renewal
- Reports/Program Self-Assessments to CDE/EESD
- Supervise Unit Manager (CSM)
- Liaison with Stage 1/WFS, Child Care Council and CalWIN
- State Audit/APMU/Independent Audit
- Review MOE Payments
- Agency's CWDA Child Care Representative