

California Department of Education

PROGRAM REQUIREMENTS

FOR

FAMILY CHILD CARE HOME EDUCATION NETWORKS

CFCC

FISCAL YEAR 2016–2017

This document was reviewed and approved by the following: Sueshil Chandra, Staff Services Manager III, Nikki Gracey, Staff Services Manager I, Contracts Office; Joseph Waltz, Senior Management Auditor, Ronald Ikemoto, Senior Management Auditor, Audits and Investigations; Marguerite Ries, Education Administrator I, David Rude, Education Programs Consultant, Lisa Velarde, Education Programs Consultant, Early Education and Support Division; Elizabeth Stein, Deputy General Counsel, Legal Division; and Eddie Yamamoto, Staff Services Manager II, Child Development Nutrition and Fiscal Services.

Posted May 2016

**FAMILY CHILD CARE HOME EDUCATION NETWORKS
PROGRAM REQUIREMENTS
TABLE OF CONTENTS
Fiscal Year 2016-2017**

SECTION	PAGE
I. OPERATIONAL REQUIREMENTS	1
A. Purpose of Child Care and Development Services	1
B. Family Child Care Home Education Networks	1
II. ELIGIBILITY CERTIFICATION AND FAMILY DATA FILE DOCUMENTATION	3
A. General Requirements	3
B. Eligibility and Need Criteria, Priority of Services	3
C. Certification of Eligibility and/or Need	5
D. Contents of Family Data File	6
E. Family Data File and Documentation	8
III. OTHER REQUIREMENTS	33
A. Limited Term Service Leave Requirements	33
IV. ADMISSION POLICIES AND PROCEDURES	34
A. General Admission Procedures	34
B. Admission Priorities, Waiting List and Displacement	34
V. FAMILY FEES	36
A. Fee Schedule	36
B. Fee Assessment; Explanation to Parents	36
C. Exceptions to Fee Assessment	36
D. Co-Payments	38
E. No Additional Payments or Costs/Exceptions	38
F. Credit for Fees Paid to Other Service Providers	39
G. Receipt for Payment of Fee	39
H. Advance Payment of Fees; Delinquent Fees; Notice of Delinquency	40
I. Plan for Payment of Delinquent Fees; Consequences of Nonpayment of Delinquent Fees	40
J. Provider Payments and Parent Fees	40
VI. CONFIDENTIALITY OF RECORDS	41
VII. DUE PROCESS REQUIREMENTS	41
A. Notice of Action, Application for Services; Notice of Approval or Denial	41
B. Notice of Action, Recipient of Services	42
C. Changes Affecting Services	43
D. Parent(s) Request for a Hearing and Procedures	44
E. Appeal Procedure for CDE Review	44

F.	Contractor Compliance with the CDE Decision; Reimbursement for Services During the Appeal Process.....	45
VIII.	STAFFING QUALIFICATIONS.....	45
A.	Program Director.....	45
IX.	RECORDS ON FILE CONCERNING LICENSED SERVICE PROVIDERS.....	46
X.	INFORMATION TO SHARE WITH THE PARENTS.....	46

**FAMILY CHILD CARE HOME EDUCATION NETWORK
QUALITY REQUIREMENTS
TABLE OF CONTENTS
Fiscal Year 2016-2017**

SECTION	PAGE
I. PROGRAM PHILOSOPHY, GOALS AND OBJECTIVES	47
II. DEVELOPMENTAL PROFILE.....	47
III. EDUCATION PROGRAM.....	48
IV. STAFF DEVELOPMENT PROGRAM.....	49
V. PARENT INVOLVEMENT AND EDUCATION	49
VI. HEALTH AND SOCIAL SERVICES	50
VII. COMMUNITY INVOLVEMENT	50
VIII. NUTRITION.....	50
IX. PROGRAM SELF-EVALUATION PROCESS.....	50
X. PARENT SURVEY	51
XI. ENVIRONMENT RATING SCALES	52

I. OPERATIONAL REQUIREMENTS (*EC* 8203, 8203.1, 8203.5, 8206, 8235(d) 8245)

A. The purpose of Child Care and Development services, is as follows:

1. To provide a comprehensive, coordinated, and cost-effective system of child care and development services for children from infancy to 13 years of age and their parents, including a full range of supervision, health and support service through full-and part-time programs. (*EC* 8200 and 8201).
2. To encourage community-level coordination in support of child care and development services.
3. To provide an environment that is healthy and nurturing for all children in child care and development programs.
4. To provide the opportunity for positive parenting to take and development.
5. To reduce strain between parent and child in order to prevent abuse, neglect, or exploitation.
6. To enhance the cognitive development of children, with particular emphasis upon those children who require special assistance, including bilingual capabilities to attain their full potential.
7. To establish a framework for the expansion of child care and development services.
8. To empower and encourage parents and families of children who require child care services to take responsibility to review the safety of the child care program or facility and to evaluate the ability of the program or facility to meet the needs of the child.

B. Family Child Care Home Education Networks (CFCC) shall operate as follows: (*EC* 8245, 8246 and 8247)

1. Support educational objectives for children in licensed family child care homes that serve families eligible for subsidized child care. Family child care home education network programs shall include, but are not limited to, all of the following:
 - a. Age and developmentally appropriate activities for children;
 - b. Care and supervision of children;

- c. Parenting education;
 - d. Identification of child and family social or health needs and referral of the child or the family to the appropriate social or health services;
 - e. Nutrition;
 - f. Training and support for the family child care home education network's family home providers and staff;
 - g. Assessment of each family child care home provider to ensure that services are of high quality and are educationally and developmentally appropriate;
 - h. Developmental profiles for children enrolled in the program;
 - i. Parent involvement.
2. Each family child care home education network contractor, in addition to the requirements set forth in subdivision (b) of *EC 8245*, shall do all of the following:
- a. Recruit, enroll, and certify eligible families;
 - b. Recruit, train, support, and reimburse licensed family home providers;
 - c. Collect family fees in accordance with contract requirements;
 - d. Assess, according to standards set by the department, the educational quality of the program offered in each family child care home in the network;
 - e. Assure that a developmental profile is completed for each child based upon observations of network staff, in consultation with the provider;
 - f. Monitor requirements, including quality standards, and conduct periodic assessments of program quality in each family child care home affiliated with the network;
 - g. Ensure that basic health and nutrition requirements are met;
 - h. Provide data and reporting in accordance with contract requirements.

II. ELIGIBILITY CERTIFICATION AND FAMILY DATA FILE DOCUMENTATION

A. General Requirements (*EC* 8201(a), 8263(a) (1) and (a) (2), 8263.4; 5 *CCR* 18107)

1. To receive child care and development program services, families shall meet eligibility and need criteria. In addition to meeting eligibility and need requirements, to be eligible for services the child's parent(s) must live in the State of California while services are being received. Evidence of a street address or post office address in California will be sufficient to establish residency. A person identified as homeless is exempted from this requirement and shall submit a declaration of intent to reside in California.
2. The governing board of a school district, community college district, or a county superintendent of schools may accommodate children residing outside the district boundaries in accordance with *EC* 8322(a). The determination of eligibility shall be without regard to the immigration status of the child or the child's parent(s) unless the child or the child's parent(s) is under a final order of deportation from the United States Department of Homeland Security.
3. Children who have reached their thirteenth (13th) birthday are ineligible for subsidized services except for those children with exceptional needs and severely disabled child may be served to age twenty-one (21). Children with exceptional needs shall also meet the criteria for that age group specified in *EC* 56026 and 5 *CCR* 3030 and 3031.
4. The preferred placement for children who are eleven (11) or twelve (12) years of age and who are otherwise eligible for subsidized child care and development services shall be in a before or after school program. Children who are eleven (11) or twelve (12) shall continue to receive subsidized child care services when a before or after school program is not available.

B. Eligibility and Need Criteria, Priority of Services (*EC* 8263(a) (1), 8263(a)(2); 5 *CCR* 18085.5(b))

Eligibility Criteria (*EC* 8262(a) (1). Eligibility shall be established by 1, 2, 3 or 4 below:

1. Family is a current cash aid recipient;
2. Family is income eligible;
3. Family is homeless, or.

4. Family has children who are recipients of protective services, or whose children have been identified as being abused, neglected, or exploited, or at risk of being abused, neglected, or exploited. .

For full documentation requirements see section on Family Data File.

Need Criteria (*EC 8263(a)(2)*; 5 *CCR 18085.5(b)*). Need shall be established by 1a. or 1b. below:

1. The family needs the child care and development services because:
 - a. The child is:
 - i. A recipient of child protective services; or
 - ii. Being neglected, abused, or exploited; or
 - iii. At risk of abuse, neglect, or exploitation.
 - b. The parent(s) are:
 - i. Employed;
 - ii. Seeking employment;
 - iii. Engaged in vocational training leading directly to a recognized trade, paraprofession or profession;
 - iv. Seeking permanent housing for family stability;
 - vi. Incapacitated.
2. Families who are eligible for subsidized child care and development services based on income, public assistance, or homelessness must document that each parent as defined in 5 *CCR 18018(l)* in the family meets a need criterion. (*EC 8263(a) (2)(B)*; 5 *CCR 18078(f)*).
3. Services shall only be available to the extent which: (5 *CCR 18085.5(b)*)
 - a. The parent meets a need criterion that precludes the provision of care and supervision of the family's child for some of the day;

- b. There is no parent in the family capable of providing care for the family's child during the time care is requested; and
- c. Supervision of the family's child is not otherwise being provided by school or another person or entity.

For full documentation requirements see section on Family Data File.

4. Priority of services are as follows: (*EC 8263(b)(1)(1)*)

a. First Priority:

- i. Neglected or abused children who are recipients of child protective services; or
- ii. Children who are at risk of being neglected or abused;
- iii. If an agency is unable to enroll a child in the first priority category, the agency shall refer the family to local resource and referral services to locate services for the child.

b. Second Priority: (*EC 8263(2)*)

- i. After children in the first priority are enrolled, second priority is given equally to eligible families, regardless of the number of parents in the home, who are income eligible are next and shall be prioritized according to families with lowest gross monthly income in relation to family size as determined by a schedule adopted by the Superintendent.

For full requirements see section on Admission Priorities.

C. Certification of Eligibility and Need (*EC 8261, 8263, 8265, and 8269; 5 CCR 18082, 18094, 18095, and 18102*)

- 1. The certification of eligibility is a formal process the Contractor goes through to collect information and documentation to determine that the family and/or child meets the eligibility criteria for enrollment in order to receive subsidized child care and development services. Required documents are listed in the Family Data File Documentation section.

2. All information and documentation collected is maintained in the Family Data File (*EC 8263(a)(1) and 8263(a)(2) and 5 CCR 18078*).
 3. The contractor shall designate the staff person authorized to certify family/child eligibility. Prior to initial enrollment and at the time of recertification, an authorized representative of the contractor shall: (*5 CCR 18082*)
 - a. Certify each family's/child's eligibility and need for child care and development services after reviewing the completed application and documentation contained in the family data file.
 - b. Collect social security numbers of heads of households, and other information as required and documentation contained in the family data file (*EC 8261.5*)
 - c. At the time of certification and recertification, families shall be informed of their responsibility to notify the contractor, within five (5) calendar days, of any changes in family income, family size, or need for child care and development services. (*EC 8263(a)(1), 8263(a)(2) and 5 CCR 18078*)
 - d. When a child's residence alternates between the homes of separated or divorced parents, eligibility, need and fees should be determined separately for each household in which the child is residing during the time child development services are needed (i.e., separate certifications and service agreements). For example, a child may be certified during part of the week and full cost the rest of the week. (*5 CCR 18407 (c)*)
- D. Contents of Family Data File (*EC 8261, 8261.5, 8263(a) (1) and (a)(2), 8269; 5 CCR 18081*)
1. Contractors shall establish and maintain a family data file for each family receiving child care and development services using the following records as applicable to determine eligibility and need prior to enrollment (*EC 8263(a)(1)*):
 - a. The family data file shall contain a completed and signed application for services and the following records as applicable to determine eligibility and need.
 - i. Documentation of Income Eligibility including an income calculation worksheet;

- ii. Documentation of Employment;
- iii. Documentation of Seeking Employment;
- iv. Documentation of Training;
- v. Documentation of Parental Incapacity;
- vi. Documentation of Child's Exceptional Needs;
- vii. Documentation of Homelessness;
- viii. Documentation of Seeking Permanent Housing for Family Stability;
- ix. Documentation of referral for child protective services;
- x. Documentation of referral for child abused, neglected or exploited, or child identified as/or at risk of abuse, neglect, or exploitation;
- xi. If the parent of the child was on cash assistance, the date the parental cash aid was terminated;
- xii. A signed Child Care Data Collection Privacy Notice and Consent Form CD 9600A (Rev. 01/04) shall be included;
- xiii. Notice of Action, Application for Services and/or Recipient of Services shall be included;
- xiv. Documentation of Child Health and Emergency Contact Information. The family data file shall contain all child health and current emergency information required by California Code of Regulations, Title 22, Social Security, Division 12, Community Care Facilities Licensing Regulations with the following exception. Immunization records are not required to be in the family data file for child attending a public or private elementary school or for children receiving care in licensed facilities and reimbursed pursuant to *EC 8220 and 8350*.

E. Family Data File and Documentation

1. Application for Services (*EC 8261 and 8263; 5 CCR 18083 and 18100*)

The application for services shall contain the following information:

- a. The parent's(s)' full name(s), address(es) and telephone number(s) (Parent is defined in 5 CCR 18078(l).);
- b. The names, gender, and birthdates of all children under the age of (18) eighteen in the family, whether or not they are served by the program;
- c. The number of hours of care needed each day for each child
- d. The names of other family members in the household related by blood, marriage, or adoption
- e. The reason for needing child care and development services: (*EC 8263 (a)(2) and 5 CCR 18083(e)*)
 - i. Child protective services;
 - ii. Employment;
 - iii. Training;
 - iv. Seeking employment;
 - v. Incapacitation of the parent;
 - vi. Seeking permanent housing for family stability;
- f. Employment or training information for parent(s) including name and address of employer(s) or training institution(s) and days and hours of employment or training, if applicable.
- g. Eligibility status is: (*EC 8263(a)(1)*)
 - i. Child protective status;
 - ii. Current Aid Recipient;
 - iii. Income Eligible; or Homeless.

- h. Family size and income, if applicable;
 - i. The parent's signature and date of the signature.
 - j. The signature of the contractor's authorized representative certifying the eligibility;
 - k. The signature of the contractor's authorized representative on an application for services (CD 9600) attests that the criteria have been met. (5 CCR 18078 (b))
2. Documentation and Determination of Family Size (*EC 8261 and 8263; 5 CCR 18100*)
- a. The information provided on the application for services shall be used to determine family size. A parent shall provide the names of the parents and the names, gender and birthdates of the children identified in the family. This information shall be documented on a confidential application for child care and development services and used to determine family size.
 - b. The number of children shall be documented by providing one of the following documents, as applicable:
 - i. Birth certificates;
 - ii. Court orders regarding child custody;
 - iii. Adoption documents;
 - iv. Records of foster care placements;
 - v. School or medical records;
 - vi. County welfare department records; or
 - vii. Other reliable documentation indicating the relationship of the child to the parent.
 - c. When only one parent has signed the application and the information provided above indicates the child(ren) in the family has another parent whose name does not appear on the application, then the presence or absence of that parent shall be documented by providing any one of the following documents, as applicable:

- i. Records of marriage, divorce, domestic partnership or legal separation;
 - ii. Court-ordered child custody arrangements;
 - iii. Evidence that the parent signing the application is receiving child support payments from that person, has filed for child support with the appropriate local agency, or has executed documents with that agency declining to file for child support;
 - iv. Rental receipts or agreements, contracts, utility bills or other documents for the residence of the family indicating that the parent is the responsible party; or
 - v. Any other documentation, excluding a self-declaration except as provided below, to confirm the presence or absence of a parent of a child in the family.
- d. If, due to the recent departure of a parent from the family, the remaining applicant parent cannot provide any documentation described above, the applicant parent may submit a self-declaration signed under penalty of perjury explaining the absence of that parent from the family. Within six months of applying or reporting this change in family size, the parent must provide the documentation.
- e. If the information provided by the parent is insufficient, the contractor shall request any additional documentation necessary from above to verify the family composition and family size.
- f. For income eligibility and family fee purposes, when a child and his or her siblings are living in a family that does not include their biological or adoptive parent, only the child and related siblings shall be counted to determine family size. In these cases, the adult(s) must meet a need criterion. (*EC 8263(a)(2)*)
3. Documentation of Eligibility: Income Eligibility and Calculation of Income (*EC 8261 and 8263, 8263.1, and 5 CCR 18078 (a) and (s) and 18084*)

The parent is responsible for providing documentation of the family's total countable income and the contractor is required to verify the information, as described below:

- a. The parent(s) shall document total countable income for all the individuals counted in the family size as follows:

If the parent is employed, provide:

- i. A release authorizing the contractor to contact the employer(s), to the extent known, that includes the employer's name, address, telephone number, and usual business hours; and
 - ii. All payroll check stubs, a letter from the employer, or other record of wages issued by the employer for the month preceding the initial certification, an update of the application, or the recertification that establishes eligibility for services.
- b. When the employer refuses or fails to provide requested documentation or when a request for documentation would adversely affect the parent's employment, provide other means of verification that may include a list of clients and amounts paid, the most recently signed and completed tax returns, quarterly estimated tax statements, or other records of income to support the reported income, along with a self-certification of income.
 - c. If the parent is self-employed, provide a combination of documentation necessary to establish current income eligibility for at least the month preceding the initial certification, an update of the application, or the recertification that establishes eligibility for services. Documentation shall consist of as many of the following types of documentation as necessary to determine income:
 - i. A letter from the source of the income;
 - ii. A copy of the most recently signed and completed tax returns with a statement of current estimated income for tax purposes; or
 - iii. Other business records, such as ledgers, receipts, or business logs;
 - d. Provide copies of the documentation of all non-wage income referenced in the definition of "total countable income," self-certification of any income for which no documentation is possible, and any verified child support payments referenced

in the definition of “adjusted monthly income.” (5 CCR 18078(q)).

- e. The contractor:
 - i. Shall retain copies of the documentation of total countable income and adjusted monthly income in the family data file.
 - ii. When the parent is employed, shall, as applicable, verify the parent’s salary/wage; rate(s) of pay; potential for overtime, tips or additional compensation; hours and days of work; variability of hours and days of work; pay periods and frequency of pay, start date for the employee. If the employer refuses or is non-responsive in providing requested information or a request for employer documentation would adversely affect the parent’s employment, and if the information provided is inconsistent with the contractor’s knowledge or community practice, shall request clarification in the self-certification of income, additional income information or a reasonable basis for concluding that the employer exists.
 - iii. When the parent is self-employed, shall obtain and make a record of independent verification regarding the cost for services provided by the parent that may be obtained by contacting clients, reviewing bank statements, or confirming the information in the parent’s advertisements or Web site.
 - iv. If the income cannot be independently verified, the contractor shall assess whether the reported income is reasonable or consistent with the community practice for this employment.
 - v. May request additional documentation to verify total countable income to the extent that the information provided by the parent or the employer is insufficient to make a reasonable assessment of income eligibility.
 - vi. To establish eligibility, shall, by signing the application for services, certify to the contractor’s reasonable belief that the income documentation obtained and, if applicable, the self-certification, support the reported

income, are reliable and are consistent with all other family information and the contractor's knowledge, if applicable, of this type of employment or employer.

- f. If the family is receiving child care and development services because the child(ren) is/are identified as being abused, neglected or exploited or at risk of abuse, neglect, or exploitation or receiving child protective services, and the written referral required by 5 *CCR* 18081(b)(9) and (b)(10) specifies that it is necessary to exempt the family from paying a fee, then the parent will not be required to provide documentation of total countable income. See Section on Family Fee Schedule.

4. Calculation of Income (*EC* 8261, 8263, 8263.1, 5 *CCR* 18078(a), (q) and (s), and 18096)

The contractor shall calculate total countable income based on income information reflecting the family's current and on-going income:

- a. Using an income calculation worksheet that specifies the frequency and amount of the payroll check stubs provided by the parent and all other sources of income referenced in the definition of "total countable income." (5 *CCR* 18078 (q))
- b. When income fluctuates because of:
 - i. Agricultural work as referenced in 5 *CCR* 18078(j)(1) by averaging income from the twelve (12) months preceding the initial certification, an update of the application, or the recertification that establishes eligibility for services;
 - ii. Intermittent income as referenced in 5 *CCR* 18078(j)(2) by averaging the intermittent income from the preceding twelve (12) months by dividing by twelve (12) and add this amount to the other countable income;
 - iii. Unpredictable income as referenced in 5 *CCR* 18078(j)(3) by averaging the income from at least three consecutive months and no more than twelve (12) months preceding the initial certification, an update of the application, or the recertification that establishes eligibility for services.

- c. Exceptions to Calculation for Military Personnel 37 U. S. C. 403.

For programs located on or in close proximity to a military base or base housing for purposes of determining eligibility and income ranking for families whose child is eligible for part-day/part-year services, when an individual counted in the family size is on federal active duty, state active duty, active duty for special work, or Active Guard and Reserve duty in the military, and the families reside on a military base or in military housing, the contractor with prior written approval from the SSPI or his designee may exclude the amount of the basic allowance for housing provided to the individual.

- 5. Documentation of Need: Public Assistance (*EC* 8261 and 8263; 5 *CCR* 18085)

If the basis of eligibility as specified in *EC* 8263(a)(1) is a current aid recipient, the parent shall provide documentation of public cash assistance, unless the contractor has and elects to use other means of obtaining verification.

- 6. Documentation of Need: Based on Employment, Seeking Employment, Training, Seeking Housing and Incapacity (*EC* 8261,263 and 8265; 5 *CCR* 18085.5)

- a. Families who are eligible for subsidized child care and development services based on income, public assistance, or homelessness must document that each parent in the family, pursuant to 5 *CCR* 18078(f), meets a need criterion, as specified in *EC* 8263(a)(2)(B). The need criteria are: vocational training leading directly to a recognized trade, paraprofession, or profession; employment or seeking employment; seeking permanent housing for family stability; and incapacitation.

- b. Subsidized child care and development services shall only be available to the extent to which:

- i. The parent meets a need criterion as specified in subdivision (a) that precludes the provision of care and supervision of the family's child for some of the day;

- ii. There is no parent in the family capable of providing care for the family's child during the time care is requested; and
 - iii. Supervision of the family's child is not otherwise being provided by school or another person or entity.
- 7. Documentation of Need: Employment (*EC 8261 and 8263; 5 CCR 18086*)
 - a. If the basis of need as stated on the application for services is employment of the parent(s), the documentation of the parent(s) employment shall include the days and hours of employment. The documentation of employment shall consist of one of the following:
 - b. If the parent has an employer, the documentation of need based on employment shall consist of one (1) of the following:
 - i. The pay stubs provided to determine income eligibility that indicate the days and hours of employment;
 - ii. When the provided pay stubs do not indicate the days and hours of employment, the contractor shall verify the days and hours of employment by doing one of the following:
 - a) Secure an independent written statement from the employer;
 - b) Telephone the employer and maintain a record;
 - c) If the provided pay stubs indicate the total hours of employment per pay period and if the contractor is satisfied that the pay stubs have been issued by the employer, specify on the application for services the days and hours of employment to correlate with the total hours of employment and the parent's need;
 - iii. If the variability of the parent's employment is unpredictable and precludes the contractor from verifying specific days and hours of employment or work week cycles, specify on the application for

services that the parent is authorized for a variable schedule for the actual hours worked, identifying the maximum number of hours of need based on the week with the greatest number of hours within the preceding four (4) weeks and the verification of the above. Until such time as the employment pattern becomes predictable, need for services shall be updated at least every four (4) months and shall be based on the above requirements and the child care services utilized;

- iv. If the employer refuses or is non-responsive in providing the requested information, record the contractor's attempts to contact the employer, and specify and attest on the application for services to the reasonableness of the days and hours of employment based the description of the employment and community practice; or
- v. If the parent asserts in a declaration signed under penalty of perjury that a request for employer documentation would adversely affect the parent's employment, on the application for services:
 - a) Attest to the reasonableness of the parent's assertion; and
 - b) Specify and attest to the reasonableness of the days and hours of employment based on the description of the employment and community practice.
 - d) When the employed parent does not have pay stubs or other record of wages from the employer and has provided a self-certification of income, as defined in 5 CCR 18078(o), the contractor shall assess the reasonableness of the days and hours of employment, based on the description of the employment and the documentation provided in 5 CCR 18084(a)(3) above, and authorize only the time determined to be reasonable.
- c. If the parent is self-employed, the documentation of need based on employment shall consist of the following:

Parent provided information that includes:

- i. A declaration of need under penalty of perjury that includes a description of the employment and an estimate of the days and hours worked per week;
 - ii. To demonstrate the days and hours worked, a copy of one or more of the following: appointment logs, client receipts, job logs, mileage logs, a list of clients with contact information, or similar records; and
 - iii. As applicable, a copy of a business license, a workspace lease, or a workspace rental agreement.
- d. A statement by the contractor assessing the reasonableness of the total number of days and hours requested per week based on the description of the employment and the documentation provided pursuant to 5 CCR 18084. If the parent has unpredictable hours of employment, the contractor shall authorize the parent for a variable schedule not to exceed the number of hours determined to be needed per week. Need for services for unpredictable hours shall be updated at least every four months based on the requirements as stated above. If the contractor has been unable to verify need based on the documentation provided, the contractor shall take additional action to verify self-employment that includes any one or more of the following:
- i. If the self-employment occurs in a rented space, contacting the parent's lessor or other person holding the right of possession to verify the parent's renting of the space;
 - ii. If the self-employment occurs in variable locations, independently verifying this information by contacting one or more clients whose names and contact information have been voluntarily provided by the parent; or
 - iii. Making other reasonable contacts or requests to determine the amount of time for self-employment.
- e. If the contractor is unable to make a reasonable assessment of the hours needed for self-employment after attempting to verify such hours and documenting the attempts, the contractor may divide the parent's self-employment income,

by the applicable minimum wage (5 CCR 18078(q)(4)). The resulting quotient shall be the maximum hours needed for employment per month.

- f. For the instances identified in previous sections above, the parent shall provide a release to enable the contractor to obtain the information it deems necessary to support the parent's asserted days and hours worked per week.
- g. If additional services are requested for travel time or sleep time to support employment, the contractor shall determine, as applicable, the time authorized for:
 - i. Travel to and from the location at which services are provided and the place of employment, not to exceed half of the daily hours authorized for employment to a maximum of four hours per day; or
 - ii. Sleep, if the parent is employed anytime between 10:00 p.m. and 6:00 a.m., not to exceed the number of hours authorized for employment and travel between those hours.

8. Documentation of Need: Employment in the Home or a Licensed Family Day Care Home; Service Limitations (*EC 8261 and 8263; 5 CCR 18086.1*)

The requirements of this section are in addition to those stated above.

- a. If the parent's employment is in the family's home or on property that includes the family's home, the parent must provide justification for requesting subsidized child care and development services based on the type of work being done and its requirements, the age of the family's child for whom services are being sought, and, if the child is more than five years old, the specific child care needs. The contractor shall determine and document whether the parent's employment and the identified child care needs preclude the supervision of the family's child.
- b. If the parent is a licensed family day care home provider pursuant to California Health and Safety Code Section 1596.78 or an individual license-exempt provider pursuant to Health and Safety Code Section 1596.792 (d) or (f), the parent is not eligible for subsidized services during the

parent's business hours because the parent's employment does not preclude the supervision of the family's child.

- c. If the parent is employed as an assistant in a licensed large family day care home, pursuant to Health and Safety Code Section 1596.78(b), and is requesting services for the family's child in the same family day care home, the parent shall provide documentation that substantiates all of the following:
 - i. A copy of the family day care home license indicating it is licensed as a large family day care home;
 - ii. A signed statement from the licensee stating that the parent is the assistant, pursuant to the staffing ratio requirement of 22 *CCR* 102416.5 (c);
 - iii. Proof that the parent's fingerprints are associated with that licensed family day care home as its assistant, which the contractor may verify with the local community care licensing office; and
 - iv. Payroll deductions withheld for the assistant by the licensee, which may be a pay stub.
9. Documentation of Need: Seeking Employment; Service Limitations (*EC* 8261, 8263, and 8265; 5 *CCR* 18086.5 and 18101)
- a. If the basis of need as stated on the application for services is seeking employment, the parent's period of eligibility for child care and development services is limited to sixty (60) working days during the contract period, except as specified in 5 *CCR* 18086.5 (d)(e) or if the SSPI suspends the eligibility limitation pursuant to 5 *CCR* 18086.5(d). Services shall occur on no more than five (5) days per week and for less than 30 hours per week. The period of eligibility shall start on the day authorized by the contractor and extend for consecutive working days.
 - b. Documentation of seeking employment shall include a written parental declaration signed under penalty of perjury stating that the parent is seeking employment. The declaration shall include the parent's plan to secure, change, or increase employment and shall identify a general description of when services will be necessary.

- c. The contractor shall determine the number of working days available for seeking employment and the child care schedule, which may be a variable schedule, based on the documentation. During the period of authorization and if necessary to verify need, the contractor may request that the parent provide, no more than once a week, a description of the activities he or she has undertaken during the previous week to seek employment, and, as appropriate, may require additional documentation.
- d. If the Governor declares a state of emergency and if the factual basis for the Governor's declaration indicates that opportunities for employment have temporarily diminished to such a degree that parents cannot be reasonably expected to find employment within 60 working days of diligent searching, the State Superintendent of Public Instruction (SSPI) may investigate to determine whether the 60-working-days limitation described in paragraph (a) should be suspended. If the SSPI determines that it is in the public interest to do so, he or she may, by order, suspend the 60-working-days limitation on eligibility during the period of the emergency or for a lesser time. The scope of the suspension, including the geographic areas and the persons affected, and its duration, shall be no more than necessary to respond to the emergency as determined in the SSPI's investigation, and shall be specifically described in the SSPI's order. If a parent's services for seeking employment were exhausted after an emergency was declared and before the SSPI suspends the eligibility limitation, the contractor may re-authorize services for seeking employment in accordance with the conditions specified in the SSPI's order.
- e. If the parent has concurrently received services based on employment of vocational training for at least twenty (20) working days while receiving services for seeking employment, eligibility for seeking employment may be extended for an additional twenty (20) working days. For such a parent, services for this purpose shall not exceed eighty (80) working days during the contract period.
- f. If services for this purpose are discontinued, the number of working days remaining in the period of eligibility shall be available for a subsequent period of eligibility during the contract period.

- vi. Upon completion of a quarter, semester, or training period, as applicable, a report card, a transcript, or, if the training institution does not use formal letter grades, other records to document that the parent is making progress toward the attainment of the vocational goal.
- c. A parent shall report any change in his or her class schedule related to the days and times of any class, including a withdrawal from a class, within five (5) calendar days of requesting the change from the institution.
- d. Service may be provided for classes related to the High School Equivalency Test (HSET) test or English language acquisition if such courses support the attainment of the parent's vocational goal.
- e. On-line or televised instructional classes that are unit bearing classes from an accredited training institution shall be counted as class time at one hour a week for each unit. The parent shall provide a copy of the syllabus or other class documentation and, as applicable, the Web address of the on-line program. The accrediting body of the training institution shall be among those recognized by the United States Department of Education.
- f. Continuation of services based on training is contingent upon making adequate progress. To make progress each quarter, semester, or training period, as applicable, the parent shall, in the college classes, technical or school, or apprenticeship for which subsidized care is provided:
 - i. In a graded program, earn a 2.0 grade point average; or
 - ii. In a non-graded program, pass the program's requirements in at least 50 percent (50%) of the classes or meet the training institution's standard for making adequate progress.
- g. The first time the parent does not meet the condition., the parent may continue to receive services for one (1) additional quarter, semester, or training period, as applicable, to improve the parent's progress. At the conclusion of that session, the parent shall, in the classes for which subsidized care was provided, have made adequate

progress. If the parent has not made adequate progress, services for this purpose shall be:

- i. Terminated; and
 - ii. Available to the parent, to the extent provided on the basis of need after six (6) months from the date of termination.
- h. No later than ten (10) calendar days after the training institution's release or progress reports or the quarter, semester, or vocational training period, as applicable, the parent shall provide the contractor with a copy of the parent's official progress report. As it deems appropriate, the contractor may require the parent to:
- i. Have an official copy of a progress report sent directly from the training institution to the contractor; or
 - ii. Provide a release, as may be required by the training institution, to enable the contractor to verify the parent's progress with the institution.
- i. A parent may change his or her vocational goal, but services shall be limited to the time or units remaining from the initiation of the provision of services for vocational training.
- j. The contractor shall determine the days and hours needed per week, and whether the parent is making progress, based on the documentation. The contractor may request that the parent provide a publication from the training institution describing the classes required to complete the parent's vocational goal.
- k. If additional services are requested for study time or travel time to support the vocational training, the contractor shall determine, as appropriate, the amount of services needed for:
- i. Travel to and from the location at which services are provided and the training location, not to exceed half of the weekly hours authorized for training to a maximum of four hours per day; or

- ii. Study time, including study time for on-line and televised instructional classes, according to the following:
 - a) Two (2) hours per week per academic unit in which the parent is enrolled;
 - b) On a case-by-case basis and as may be confirmed with the class instructor, additional time not to exceed one (1) hour per week per academic unit in which the parent is enrolled; and
 - c) On a case-by-case basis, no more than the number of class hours per week of non-academic or non-unit bearing training.

- I. The service limitations specified above shall not apply to a parent who demonstrates he or she is:
 - i. As of June 27, 2008, receiving services for vocational training and has attained a Bachelor's Degree;
 - ii. Receiving services from a program operating pursuant to *EC 66060*;
 - iii. Attending vocational training when the parent has been deemed eligible for rehabilitation services by the California Department of Rehabilitation; or
 - iv. Attending retraining services available through the Employment Development Department of the State or its contractors due to a business closure or mass layoff.

- 11. Documentation of Need: Parental Incapacity: Service Limitations (5 CCR 18088)
 - a. If the basis of need as stated on the application for services is parental incapacity, child care and development services shall not exceed fifty (50) hours per week.
 - b. Documentation shall include a release signed by the incapacitated parent authorizing a legally qualified health professional to disclose information necessary to establish

that the parent meets the definition of incapacity, (5 CCR 18078) and needs services.

- c. The documentation of incapacitation provided by the legally qualified health professional shall include:
 - i. A statement that the parent is incapacitated, that the parent is incapable of providing care and supervision for the child for part of the day, and if the parent is physically incapacitated, that identifies the extent to which the parent is incapable of providing care and supervision;
 - ii. The days and hours per week that services are recommended to accommodate the incapacitation, taking into account the age of the child and the care needs. This may include time for the parent's regularly scheduled medical or mental health appointments;
 - iii. The probable duration of the incapacitation; and
 - iv. The name, business address, telephone number, professional license number, and signature of the legally qualified health professional who is rendering the opinion of incapacitation and, if applicable, the name of the health organization with which the professional is associated.
- d. The contractor may contact the legally qualified health professional for verification, clarification, or completion of the provided statement.
- e. The contractor shall determine the days and hours of service based on the recommendation of the health professional and consistent with the provisions of this article.

12. Documentation of Child's Exceptional Needs (*EC* 8261, 8265; 5 CCR 18089)

The family data file shall contain documentation of the child's exceptional needs. If the contractor is claiming adjustment factors pursuant to *EC* 8265.5(b)(4) or (b)(5), the child with exceptional needs is thirteen (13) through twenty-one (21) years of age, or the contractor is operating a program pursuant to *EC* 8250(d). The documentation of exceptional needs shall include:

- a. A copy of the portion of the active individual family service plan (IFSP) or the individualized education program (IEP) that includes the information as specified in *EC 56026* and *5 CCR 3030* and *3031*; and
 - b. A statement signed by a legally qualified professional that:
 - i. The child requires the special attention of adults in a child care setting; and
 - ii. Includes the name, address, license number, and telephone number of the legally qualified professional who is rendering the opinion.
13. Documentation of Eligibility: Homelessness (*EC 8263*; *5 CCR 18090*)

If the basis of eligibility specified in *EC 8263(a) (1)* is homelessness, the family data file shall include documentation of homelessness. The documentation of homelessness shall include:

- a. A written referral from an emergency shelter or other legal, medical or social service agency; or
 - b. A written parental declaration that the family is homeless and a statement describing the family's current living situation.
14. Documentation of Need: Seeking Permanent Housing; Service Limitations (*EC 8261, 8263*; *5 CCR 18091*)
- a. If the basis of need as stated on the application for services is seeking permanent housing for family stability, the parent's period of eligibility for child care and development services is limited to sixty (60) working-days during the contract period, except as specified below. Services shall occur on no more than five (5) days per week and for less than thirty (30) hours per week. The period of eligibility shall start on the day authorized by the contractor and extend for consecutive working days.
 - b. Documentation of seeking permanent housing shall include a written parental declaration signed under penalty of perjury that the family is seeking permanent housing. The declaration shall include the parent's search plan to secure a fixed, regular, and adequate residence and shall identify a general description of when services will be necessary. If the

family is residing in a shelter, services may also be provided while the parent attends appointments or activities necessary to comply with the shelter participation requirements.

- c. The contractor shall determine the number of weeks available for seeking permanent housing and the child care schedule, which may be a variable schedule, based on the documentation. During the period of authorization and if necessary to verify need, the contractor may request that the parent provide, no more than once a week, either a declaration signed under penalty of perjury describing the activities the parent has undertaken during the previous week to seek permanent housing or signed statement from the shelter, transitional housing agency, or homeless support program regarding the parent's search progress to date.
 - d. If the parent does not expect to secure housing prior to the end of the eligibility period:
 - i. The parent may request an extension in a declaration of need signed under penalty of that includes an update of the parent's search plan and either a description of the activities undertaken during the previous week to seek permanent housing or a signed statement from the shelter, transitional housing agency, or homeless support program indicating the parent's continued need for services; and
 - ii. The contractor may authorize an extension of search eligibility for up to twenty (20) additional working days.
 - e. If services for this purpose are discontinued, the number of working days remaining in the period of eligibility shall be available for a subsequent period of eligibility during the contract period.
 - f. As used in this section, the working days used to determine the period of eligibility shall include the consecutive Mondays through Fridays, excluding any federal holidays.
15. Documentation of Eligibility/Need: Child Protective Services for Recipients Receiving Services: Children Identified, Or At Risk of Abuse, Neglect, or Exploitation (EC 8261, 8263(b)(1); 5 CCR 18081(b)(10),18092)

The family data file shall contain the following documentation for eligibility and /or need is as follows: (5 CCR 18092)

Child Protective Services for Recipients

If eligibility and need as specified in *EC 8263(a)(1)* and *(a)(2)* are based on child protective services, the basic data file shall contain:

- a. A written referral, dated within the six (6) months immediately preceding the date of application for services:
 - i. A statement from the local county welfare department, child protective services unit certifying that the child is receiving child protective services and that the child care and development services are a necessary component of the child protective services plan; or
 - ii. The probable duration of the child protective services plan or the at risk situation; and
 - iii. The name, address, telephone number, and signature of the child welfare services worker who is making the referral.

Children Identified as Or Children At Risk of Abuse, Neglect, or Exploitation.

If eligibility and need are based on the child being identified as abused, neglected or exploited or at risk of abuse, neglect or exploitation, the family data file shall contain: (5 CCR 18081)

- a. A written referral from a legally qualified professional from a legal, medical, or social services agency, or emergency shelter, transitional shelter, Head Start program or a LEA liaison for homeless children and youth pursuant to 42 US 11432(g)(1)(j)(ii) certifying that:
 - i. The child is identified as being abused, neglected or exploited or is at risk of abuse, neglect, or exploitation and that the family needs child care and development services; and
 - ii. The probable duration of the need for child care and development services; and

- iii. The name, business address, telephone number, and signature of the legally qualified professional who is making the referral and information that identifies the agency, LEA, Head Start Program or shelter with whom the individual is associated.
16. Documentation of Signed Child Care Data Collection Privacy Notice and Consent Form (5 CCR 18081(c))

A signed Child Care Data Collection Privacy Notice and consent form CD 9600A shall be included.

17. Documentation of Child Health and Emergency Contact Information

The family data file shall contain all child health and current emergency information required by California Code of Regulations Title 22 Social Security, Division 12, Section 101221 Community Care Facilities Licensing Regulations with the following exception. Immunization records are not required to be in the family data file for children attending a public or private elementary school or for children receiving care in licensed facilities and reimbursed pursuant to *EC* 8220 and 8350.

18. Notice of Action, Application for Services –Approving or Denying Services (*EC* 8261,8263; 5 CCR 18081, 18083, 18094, 18095)

After initial certification, the contractor's decision to approve or deny services shall be communicated to the applicant through a written statement referred to as a Notice of Action, Application for Services, in accordance with 5 CCR 18118.

The contractor shall maintain copies of the Notice of Action, Application for Services in the basic data file. The Notice of Action, Application for Services shall include:

- a. The applicant's name and address;
- b. The contractor's name and address;
- c. The name and telephone number of the contractor's authorized representative who made the decision;
- d. The date of the notice;
- e. The method of distribution of the notice.

If services are approved, the notice shall contain:

- a. Basis of eligibility;
- b. Daily/hourly fee, if applicable;
- c. Duration of the eligibility;
- d. Names of children approved to receive services;
- e. Hours of service approved for each day;

If the services are denied, the notice shall contain:

- a. The basis of denial; and
- b. Instructions for the parent(s) on how to request a hearing if they do not agree with the contractor's decision as stated in the Notice of Action, Application for Services in accordance with procedures specified in 5 *CCR* 18120 and 18121 and the Due Process Section.

19. Notice to Families of Their Responsibility to Notify Contractor of Changes to Family Circumstances

At the time the contractor certifies or recertifies eligibility of a family/child for child care and development services, the contractor shall inform the family of the family's responsibility to notify the contractor within five (5) calendar days of any changes in family income, family size, or the need for services as specified in *EC* 8263(a)(2).

20. Updating the Application (*EC* 8261, 8263(a)(1) and (2); 5 *CCR* 18095)

Contractors shall update the family's application to document continued need and eligibility and determine any change to fee assessment, if applicable, as follows:

- a. For migrant and other seasonally employed families, the application shall be updated within thirty (30) days whenever there is a change in family size or need if need as specified in 5 *CCR* 18083(e) is based on training or incapacity of the parent.

- b. For all other families, the application shall be updated within thirty (30) days whenever there is a change in family size, income, public assistance status or need for services.
- c. The requirement for updating the files does not apply to families receiving services because the child is receiving child protective services or has been identified as abused, neglected or exploited or at risk of abuse, neglect or exploitation.

21. Recertification (*EC 8261, 8263(b)(1)(B) & (C); 5 CCR 18103*)

After initial certification and enrollment, the contractor shall verify need and eligibility and recertify each family/child as follows:

- a. Families receiving services because the child is at risk of abuse, neglect, or exploitation shall be recertified at least once every six (6) months. The family can continue to receive child care and development services based on any of the following reasons:
 - i. The child is receiving protective services and child care and development services are part of the case plan.
 - ii. The family meets other need and eligibility criteria pursuant *EC 8263(a)(1) and (a)(2)*.
- b. Families receiving services because of actual abuse, neglect or exploitation shall be recertified at least every six (6) months and, at the time of recertification, the contractor shall document that the family is participating in a protective services plan in accordance with the requirements of their local county welfare department, child protective services unit to alleviate the circumstances causing the abuse, neglect or exploitation;
- c. All other families receiving services because the child and family are receiving child protective services shall be recertified at least every twelve (12) months.

22. Notice of Action, Recipient of Services –Recertifying or Updating Services (*EC 8261, 8263; 5 CCR 18095*)

- a. Contractors shall update the family’s application to document continued need and eligibility determine any change to fee

assessment if applicable, between recertification. The application shall be revised by inserting the latest family information that documents the continued need and eligibility for child care and development services. (5 CCR 18078 (t))

- b. If upon recertification or update of the application, the contractor determines that the need or eligibility requirements are no longer being met, or the fee or amount of service needs to be modified, the contractor shall notify the family through a written Notice of Action, Recipient of Services in accordance with 5 CCR 18119.
- c. The contractor shall maintain copies of all Notices of Action, Recipient of Services in the family's basic data file. The Notice of Action, Recipient of Services shall include:
 - i. The type of action being taken;
 - ii. The effective date of the action;
 - iii. The name and address of the recipient;
 - iv. The name and address of the contractor;
 - v. The name and telephone number of the contractor's authorized representative who is taking the action;
 - vi. The date the notice is mailed or given to the recipient;
 - vii. The method of distribution to the recipient;
 - viii. A description of the action;
 - ix. A statement of the reason(s) for the changes;
 - x. A statement of the reason(s) for termination, if applicable; and
 - xi. Instructions for the parent(s) on how to request a hearing if they do not agree with the contractor's decisions as stated in the Notice of Action, Recipient of Services in accordance with procedures specified in 5 CCR 18120 and 18121. These instructions shall inform parents how to request a hearing from the contractor and, if necessary, from the Early Education

and Support Division as described in 5 CCR 18120 and 18121.

For full due process and documentation requirements see section on Due Process.

III. OTHER REQUIREMENTS

A. Limited Term Service Leave Requirements (*EC 8263(a) (2)*; 5 CCR 18104)

1. If the family will temporarily not have a need for subsidized child care and development program services, the contractor may grant the family a limited term service leave. Reasons for a limited term service leave shall include medical leave and family leave, and may include, but are not limited to, break in employment, school break, the child's visit with the non-custodial parent this is not ordered by the court, or family vacation in excess of best interest days as specified in verification of excused absences (5 CCR 18066(f)). Family Leave means a leave:
 - b. For the birth and care of the newborn child of the parent;
 - c. For placement with the parent of a child for adoption or foster care; and
 - d. To care for the parent's child, spouse, or parent who has a health condition.
2. If the contractor offers limited service leaves, the contractor:
 - a. Shall provide equal access to limited term service leaves; and
 - b. May set a limit on the number of leaves to be granted in a contract year based on an assessment of contract resources pursuant to their maximum reimbursable amount. (5 CCR 18054)
3. If the contractor grants a limited term service leave:
 - a. The family shall not be disenrolled from the program;

- b. The service agreement with the parent shall indicate that no services will be provided during the limited term service leave; and
 - c. The contractor shall not report the child as enrolled nor claim reimbursement from the CDE while the child is on a limited term service leave.
- 4. A limited term service leave shall not exceed twelve (12) consecutive weeks in duration, except as specified below.
- 5. A limited term service leave from employment or training shall not exceed sixteen (16) consecutive weeks in duration if the leave is for:
 - a. A medical or family leave; or
 - b. A period when the vocational training program is not in spring, fall, or winter sessions.
- 6. A limited term service leave may be granted for any portion of the contract period in which a child is attending an After School Education and Safety Program, pursuant to *EC 8482 et seq.*, or a federal 21st Century Community Learning Centers program, as referenced in *EC 8484.7 et seq.*

IV. ADMISSION POLICIES AND PROCEDURES (*EC 8263, 8261*)

A. General Admission Procedures (*EC 8203 and 8263; 5 CCR 18105*)

Contractors shall develop written admission policies and procedures which shall be made available to the public (*5 CCR 18105(a)*) including plans for the care of children when they are sick (*EC 8251*)

The admission procedures established shall conform to requirements in *22 CCR 101218*.

B. Admission Priorities, Waiting List and Displacement (*EC 8261, 8263(b) and 5 CCR 18106*)

1. Admission Priorities (*EC 8261, 8236 and, 8263(b) and 5 CCR 18106*)

- a. First Priority: Families whose children are receiving child protective services through the county welfare department

shall be enrolled before children identified as at risk of being neglected or, abused. (*EC 8263(b)(1)*) If an agency is unable to enroll a child in this first priority category, the agency shall refer the child's parent or guardian to local resources and referral services so that services for the child can be located.

- i. Except for situations where not all of the children in a family are certified based on child protective services, or the child's special need, a family that has a child or children enrolled in a program shall be allowed to enroll additional children provided there exists an appropriate program opening such as infant care or services to school age care children in which to enroll the child.
 - ii. When not all of the children in a family are certified based on child protective services or the child's special need, the other children or the parents in the family must meet both eligibility and need criteria. (*EC 8263(a)(1)*) prior to enrollment and shall be admitted in accordance with priorities specified. (*EC 8263(b)*)
- b. **Second Priority:** All children and families who are not within the first priority for admission shall be admitted in accordance with family income, with the lowest ranked families admitted first. For purposes of determining the order of admission, families with the lowest gross monthly income in relation to family size as determined by a schedule adopted by the Superintendent shall be admitted first. Public assistance grants are counted as income. When two (2) or more families have the same income the family that has a child with exceptional needs shall be admitted first. If there is no family of the same priority with a child with exceptional needs, the same priority family that has been on the waiting list for the longest shall be admitted first. (*EC 8263(b)(2)*)
 - c. Contractors shall not deny service to nor assign a lower priority to a family that needs less than full-time services. (*5 CCR 18106(d)*)
 - d. In accordance with *EC 8263(b) (3)*, the CDE may grant a waiver to the priorities specified above in order for the contractor to serve specific populations. Requests may not include waiver of the fee schedule or admission of ineligible families. Waiver requests shall be submitted to the CDE and approved prior to implementation.

2. Waiting list and Displacement of Families (*EC 8227(e)*, 8236, 8261, 8263 3(b) and 5 *CCR 18106*)
 - a. Waiting list: Contractors shall maintain a current waiting list in accordance with admission priorities. Contractors may satisfy this requirement by participating in a county child care centralized eligibility list, where applicable. When filling vacancies, contractors shall contact applicants in order of priority from the waiting list as vacancies occur. Families shall be enrolled in accordance with admission priorities above. (5 *CCR 18106 (e)*)
 - b. Displacement of Families: If it is necessary to displace families, families shall be displaced in reverse order of admission priorities. (*EC 8263.3(b)*)
 - c. After serving any transfers or siblings in families already enrolled in another CDE program, contractors shall enroll using priorities. (*EC 8263(c)*)

V. FAMILY FEES (*EC 8273 and 8273.2, 5 CCR 18108(a) and 18109*)

A. Fee Schedule

Contractors shall use the most recently approved fee schedule prepared and issued by the CDE when determining whether a family fee is applicable and the amount of a family's fee.

Family fees shall be assessed at initial enrollment and reassessed at update of certification or recertification. (*EC 8273(f)*)

B. Fee Assessment; Explanation to Parents

The following factors shall be used in determining the fee to be assessed for each family:

1. The adjusted monthly family income
2. Family size; ~~families having fewer than three (3) members shall be regarded as a family of three (3).~~
3. The fee shall be assessed and collected based on the family's child who is enrolled for the longest period (most hours).

4. The fee assessed and collected shall be either the fee indicated on the fee schedule, the actual costs of services or the contract maximum daily/hourly rate, whichever is least.
5. No adjustment shall be made for excused or unexcused absences.
6. The fee shall be the full portion of the family's cost for services.
7. The contractor shall maintain a record of each family's fee assessment, the effective date(s) of each fee increase or decrease, the dates and amounts of fees collected and any amounts which are delinquent.
8. The contractor shall provide the family a copy of and explain to the parent(s) the contractor's policies regarding fee assessment and collection and the possible consequences for delinquent payment of fees. (5 CCR 18109(b)(c))
9. For child protective services and at risk children, that do not have a fee exemption as in families whose adjusted monthly, income is over seventy percent (70%) of the state median income based on the family fee schedule, the family will pay the amount of fees assessed to a family whose adjusted monthly income is seventy percent (70%) of the state median income.

C. Exceptions to Fee Assessment (*EC 8273.1* and *5 CCR 18110*)

1. No fees shall be collected from the following types of families whose children are enrolled:
 - a. With an income level that, in relation to family size, is less than the first entry in the fee schedule.
 - b. In which any individual counted in the family size is receiving CalWORKs cash aid.
 - c. Families whose children are enrolled in a part-day CSPP as described in *EC 8235(d)*.
2. Families receiving services because the child is identified as abused, neglected, or at risk of abuse, neglect, or exploitation, may be exempt from paying fees for up to three (3) months (*EC 8273.1(a)*) if the referral prepared by a legally qualified professional from a legal, medical, or social services agency, or emergency shelter, transitional shelter or LEA Liaison for Homeless Children and Youth specifies that it is necessary to exempt the family from paying a fee (*EC 8273.1*).

3. Families receiving services because the child is receiving protective services may be exempt from paying fees for up to twelve (12) months (*EC 8273.1 (b)*) if the referral prepared by the county welfare department, child welfare services worker specifies that it is necessary to exempt the family from paying a fee.
4. The cumulative period of time of fee exemption for families receiving services because the child is at risk of abuse, neglect, or exploitation or for families receiving child care services because the child is receiving protective services shall not exceed twelve (12) months. (*EC 8273.1(c)*)
5. A family receiving CalWORKs cash aid shall not be charged a family fee. (*EC 8273.1(d)*)

D. Co-Payments (*EC 8269 and 8273; 5 CCR 18220.6*)

A family may choose any eligible provider regardless of the provider's rate.

However, when a provider's rate and other allowable charges exceed the maximum subsidy amount, the family shall be responsible for paying the provider the difference between the provider's rate and the maximum subsidy amount. This shall be considered the family's co-payment. The contractor shall not be responsible for collecting the family's co-payment.

E. No Additional Payments or Costs/Exceptions (*EC 8273.3, 5 CCR 18111*)

Except as provided below, neither a contractor nor a provider of services shall require or solicit, in cash or in kind, additional payments from the recipients of service. The prohibition includes activities or services that would increase the family's cost of participation including meals and recreation. If additional payments are made or additional costs are incurred by the family, the contractor shall refund to the parent(s) the amount of payments made or costs incurred.

The contractor may require parents to provide diapers. The contractor providing field trips may charge parents a fee. No federal or state money shall be used to reimburse parents for the costs of field trips if those costs are charged as an additional fee. A contractor that charges parents an additional fee for field trips shall inform parents, prior to enrolling the child, that a fee may be charged and that no reimbursement will be available. A contractor may charge parents for field trips or require parents to provide diapers only under the following circumstances: (*EC 8273.3*)

1. The contractor has a written policy adopted by the governing board that includes parents in the decision making process regarding:
 - a. Whether or not, and how much, to charge for field trip expenses.
 - b. Whether or not to require parents to provide diapers.
2. The maximum total of charges per child in a contract year does not exceed twenty-five dollars (\$25).
3. No child is denied participation in a field trip due to the parent's inability or refusal to pay the charge. No adverse action shall be taken against any parent for that inability or refusal.

The contractor shall establish a payment system that prevents the identification of children based on whether or not their parents have paid a field trip charge.

Expenses incurred and income received for field trips shall be reported to the CDE and income received shall be reported as restricted income.

F. Credit for Fees Paid to Other Service Providers (*EC 8269 and 8273 and 5 CCR 18112*)

This section shall apply to child care and development services provided by someone other than the contractor.

When a contractor cannot meet all of a family's needs for child care for which eligibility and need have been established, the contractor shall grant a fee credit equal to the amount paid to the other provider(s) of these child care and development services.

The contractor shall apply the fee credit to the family's subsequent fee billing period. The family shall not be allowed to carry over the fee credit beyond the family's subsequent fee billing period.

The contractor shall obtain copies of receipts or cancelled checks for the other child care and development services from the parent. The copies of the receipts or cancelled checks shall be maintained in the contractor's fee assessment records. (*5 CCR 18112*)

G. Receipt for Payment of Fee (*EC 8269 and 8273 and 5 CCR 18113*)

The contractor or service provider shall provide an original copy of a pre-numbered receipt to each person who pays a fee. The receipt shall show the amount paid, the date of payment, the rate of payment and the period

of service purchased. The contractor shall retain a copy of the receipt in its fee assessment records.

H. Advance Payment of Fees; Delinquent Fees; Notice of Delinquency (*EC 8269, 8273 and 5 CCR 18114*)

Contractors shall adopt a policy for the collection of fees in advance of providing services. The written policy shall be provided to families at the time of initial enrollment into the program.

For contractors providing direct services to children, fees shall be considered delinquent after seven (7) calendar days from the date the fees were due.

A Notice of Action, Recipient of Services shall be used to inform the family of the following:

1. The total amount of unpaid fees;
2. The fee rate;
3. The period of delinquency; and
4. That services shall be terminated two (2) weeks from the date of the Notice unless all delinquent fees are paid before the end of the two-week period.

I. Plan for Payment of Delinquent Fees; Consequences of Nonpayment of Delinquent Fees (*EC 8269, 8273; 5 CCR 18115, 18116*)

The contractor shall accept a reasonable plan from the parent(s) for payment of delinquent fees. The contractor shall continue to provide services to the child, provided the parent(s) pays current fees when due and complies with the provisions of the repayment plan.

Upon termination of services for nonpayment of delinquent fees, the family shall be ineligible for child care and development services until all delinquent fees are paid.

J. Provider Payments and Parent Fees

The contractor shall reimburse each provider no more than that provider charges unsubsidized families, not to exceed the maximum subsidy amount as defined in the regional market rate. (*5 CCR 18074.1*)

Reimbursable hours of care shall include work hours, commute hours, participation in county-approved activities, and other eligible hours as approved by the contractor

VI. CONFIDENTIALITY OF RECORDS (*EC 8261; 5 CCR 18117*)

The use or disclosure of all information pertaining to the child and his/her family shall be restricted to purposes directly connected with the administration of the program. The contractor shall permit the review of the family data file by the child's parent(s) or parent's authorized representative, upon request and at reasonable times and places.

VII. DUE PROCESS REQUIREMENTS (*EC 8261 and 8263; 5 CCR 18094*)

A. Notice of Action, Application for Services; Notice of Approval or Denial of Services (*EC 8237, 8261 and 8263, 5 CCR 18094, 18095, 18118, 18119 and 18120*)

The contractor's decision to approve or deny services shall be communicated to the applicant by mailing or delivering a completed written statement referred to as a Notice of Action, Application for Services within thirty (30) calendar days from the date the application is signed by the parent(s).

The Notice of Action, Application for Services shall include:

1. The applicant's name and address;
2. The contractor's name and address;
3. The name and telephone number of the contractor's authorized representative who made the decision;
4. The date of the notice;
5. The method of distribution of the notice.

If services are approved, the notice shall contain:

1. Basis of eligibility;
2. Daily/hourly fee, if applicable;
3. Duration of the eligibility;

4. Names of children approved to receive services;
5. Hours of service approved for each day;

If the services are denied, the notice shall contain:

1. The basis of denial; and
2. Instructions for the parent(s) on how to request a hearing if they do not agree with the contractor's decision as stated in the Notice of Action, Application for Services in accordance with procedures specified in 5 CCR 18120 and 18121 and the Due Process Section.

B. Notice of Action, Recipient of Services (*EC 8261, 8263; 5 CCR 18095*).

If upon recertification or update of the application, the contractor determines that the need or eligibility requirements are no longer being met, or the fee or amount of service needs to be modified, the contractor shall notify the family through a written Notice of Action, Recipient of Services (*5 CCR 18119*). The contractor shall maintain copies of all Notices of Action, Recipient of Services in the family's basic data file. The Notice of Action, Recipient of Services shall include:

1. The type of action being taken;
2. The effective date of the action;
3. The name and address of the recipient;
4. The name and address of the contractor;
5. The name and telephone number of the contractor's authorized representative who is taking the action;
6. The date the notice is mailed or given to the recipient;
7. The method of distribution to the recipient;
8. A description of the action;
9. A statement of the reason(s) for the changes;
10. A statement of the reason(s) for termination, if applicable; and
11. Instructions for the parent(s) on how to request a hearing if they do not agree with the contractor's decisions as stated in the Notice of

Action, Recipient of Services in accordance with procedures specified in clients request for a hearing (5 CCR 18120) and appeal procedures. (5 CCR 18121)

- a. These instructions shall inform parents how to request a hearing from the contractor and, if necessary, from the Child Development Division as described in 5 CCR 18120 and 18121.

C. Changes Affecting Services to the Service Agreement (*EC 8263(c)*; 5 CCR 18119)

1. The contractor shall complete a Notice of Action, Recipient of Services when changes are made to the service agreement. Such changes may include, but are not limited to, an increase or decrease in parent fees, an increase or decrease in the amount of services, or termination of service. The contractor shall mail or deliver the notice of action to the parents at least fourteen (14) calendar days before the effective date of the intended action whenever:
 - a. The contractor has factual information that confirms the death of the parent or the child;
 - b. The contractor receives notification from the parent that the parent no longer wants the service;
 - c. The agreement for services was a limited term authorization which has come to the end of the term, and at the time of approval of the limited term authorization, the parent was informed in writing of the date the services would be terminate; or
 - d. The parent does not provide eligibility or need information after written request by the contractor.
2. If the Notice of Action is mailed, the fourteen 14-calendar day period is extended by five (5) calendar days, which establishes a presumption that the parent received the Notice of Action.
3. To promote the continuity of child care and development services, a family that no longer meets a particular program's income, eligibility or need criteria may have their services continued if the contractor is able to transfer that family's enrollment to another program within the same contracting agency or to another agency that administers state or federally funded child care and development programs.

D. Parents Request for a Hearing; Rules and Procedures (*EC 8261; 5 CCR 18120*)

If the parent disagrees with an action, the parent(s) may file a request for a hearing with the contractor within fourteen (14) calendar days of the date the Notice of Action was received. Upon the filing of a request for hearing, the intended action shall be suspended until the review process has been completed. The review process is complete when the appeal process has been exhausted or when the parent(s) abandons the appeal process.

Within ten (10) calendar days following the receipt of the request for a hearing, the contractor shall notify the parent(s) of the time and place of the hearing. The time and place of the hearing shall, to the extent possible, be convenient for the parent(s).

The hearing shall be conducted by an administrative staff person who shall be referred to as "the hearing officer." The hearing officer shall be at a staff level higher in authority than the staff person who made the contested decision.

The parent(s) or parent's authorized representative is required to attend the hearing. If the parent or the parent's authorized representative fails to appear at the hearing, the parent will be deemed to have abandoned his or her appeal. Only persons directly affected by the hearing shall be allowed to attend.

The contractor shall arrange for the presence of an interpreter at the hearing, if one is requested by the parent(s).

The hearing officer shall explain to the parent(s) the legal, regulatory, or policy basis for the intended action.

During the hearing, the parent(s) shall have an opportunity to explain the reason(s) they believe the contractor's decision was incorrect. The contractor's staff shall present any material facts omitted by the parent(s). The hearing officer shall mail or deliver to the parent(s) a written decision within ten (10) calendar days after the hearing. The written decision shall contain procedures for submitting an appeal to the CDE.

E. Appeal Procedure for CDE Review (*EC 8261; 5 CCR 18121*)

If the parent disagrees with the written decision from the contractor, the parent has fourteen (14) calendar days in which to appeal to the CDE. If the parent(s) do(es) not submit an appeal request to the CDE within fourteen (14) calendar days, the parents' appeal process shall be deemed abandoned and the contractor may implement the intended action.

The parent(s) shall specify in the appeal request the reason(s) why he/she believes the contractor's decision was incorrect. A copy of the contractor's notice of intended action and written decision shall be submitted by the parent(s) with the appeal request.

Upon receipt of an appeal request, the CDE may request copies of the family data file and other relevant materials from the contractor. The CDE may also conduct any investigations, interviews or mediation necessary to resolve the appeal. The decision of the CDE shall be mailed or delivered to the parent(s) and to the contractor within thirty (30) calendar days after receipt of the appeal request.

F. Contractor Compliance with the CDE Decision; Reimbursement for Services during the Appeal Process (*EC 8261; 5 CCR 18122*)

The contractor shall comply with the decision of the CDE immediately upon receipt thereof. The contractor shall be reimbursed for child care and development services delivered to the family which is appealing during the appeal process. If a contractor's determination that a family is ineligible is upheld by the CDE, services to the family shall cease upon receipt of the CDE decision by the contractor.

VIII. STAFFING QUALIFICATIONS

A. Program Director (*EC 8208(v), 8360.1*)

If the contractor operates at two (2) or more sites, the contractor shall employ a program director who has administrative and programmatic responsibility for the program. The program director shall meet the requirements specified in Staffing Qualifications.

The CDE may waive the qualifications for program director upon a finding of one of the following:

1. The applicant is making satisfactory progress toward securing a permit issued by the Commission on Teacher Credentialing authorizing supervision of a child care and development program operating in two or more sites or fulfilling the qualifications for program directors in severely handicapped programs.
2. The place of employment is so remote from institutions offering the necessary coursework as to make continuing education impracticable and the contractor has made a diligent search but has been unable to hire a more qualified applicant.

3. Any other reason established by the rule by the Superintendent of Public Instruction. (*EC 8244*)

IX. RECORDS ON FILE CONCERNING LICENSED SERVICE PROVIDERS (C.F.R, 98.31, *EC 8261*; 5 *CCR 18231*)

Contractors providing services through family child care home providers shall maintain the following records concerning licensed service providers:

- A. A statement of the service provider's current fees with information regarding the provider's usual and customary services provided for those fees;
- B. A statement signed by the provider that the child care and development services being provided do not include religious instruction or worship;
- C. A document that contains the rate and schedule of payment for approved services that is signed by both the service provider and the contractor;
- D. A copy of the facility license that shows the authorized capacity of the facility;
- E. The name, address and telephone number of the service provider;
- F. The age group(s) served by the provider;
- G. A declaration by the provider that the parents have unlimited access to their children and to the providers caring for their children, during normal hours of provider operation and whenever the children are in the care of the provider.

X. INFORMATION TO SHARE WITH PARENTS

Each child care facility shall permanently post, in a prominent location, information about the registered sex offender database that is available on the Megan's Law Web site, <http://www.meganslaw.ca.gov> and give families one of the two licensing forms (LIC 995 or 995A, Notification of Parents' Rights) provided by the State Department of Social Services.

**FAMILY CHILD CARE HOME EDUCATION NETWORK
QUALITY REQUIREMENTS
Fiscal Year 2016-2017**

I. PROGRAM PHILOSOPHY, GOALS AND OBJECTIVES (*EC 8261; 5 CCR 18270 and 18271*)

Each contractor shall comply with program quality requirements (*5 CCR 18270*) and have a written philosophical statement and goals and objectives that support that philosophy. The governing body of each contractor shall approve the program philosophy, goals and objectives. The goals and objectives shall address the program quality requirements and shall reflect the cultural and linguistic characteristics of the families served by the contractor.

II. DEVELOPMENTAL PROFILE (*EC 8203, 8203.5(b); 5 CCR 18272*)

- A. Center-based and Family Child Care Home Education Network contractors shall complete the age-appropriate Desired Results Developmental Profile for each child who is enrolled in the program for at least ten (10) hours per week.
- B. The Desired Results Developmental Profile required above shall be completed for each child within sixty (60) calendar days of enrollment and at least once every six (6) months for infants, toddlers, preschoolers, and school-age children.
- C. The contractor shall use the developmental profiles to plan and conduct age developmentally appropriate activities.
- D. When a child will be transferring to a local public school from a program serving preschool-age children, the contractor shall provide the parent or guardian with information from the previous year deemed beneficial to the child and the public school teacher, including, but not limited to, development issues, social interaction abilities, health background, and diagnostic assessments if any. The preschool program may, with permission of the parent or guardian, transfer this information to the child's elementary school. (*EC 8203.5 (b)*)
- E. If a child has exceptional needs, the developmental profile shall be completed with any necessary accommodations and adaptations. A developmental profile is required for a child with exceptional needs even if that child is enrolled for less than ten (10) hours per week.

III. EDUCATION PROGRAM (*EC 8203; 5 CCR 18273*)

The standards for the child development and education program component shall include, but are not limited to the following:

- A. The program approach is developmentally, linguistically and culturally appropriate.
- B. The program is inclusive of children with special needs.
- C. The program encourages respect for the feelings and rights of others.
- D. The program supports children's social and emotional development by:
 - 1. Building trust;
 - 2. Planning routines and transitions so they can occur in a timely, predictable, and unhurried manner;
 - 3. Helping children develop emotional security and facility in social relationships.
- E. The program provides for the development of each child's cognitive and language skills by:
 - 1. Using various strategies, including experimentation, inquiry, observation, play, and exploration;
 - 2. Ensuring opportunities for creative self-expression through activities such as art, music, movement, and dialogue;
 - 3. Promoting interaction and language use among children and between children and adults;
 - 4. Supporting emerging literacy and numeracy development.
- F. The program promotes each child's physical development by providing sufficient time, indoor and outdoor space, equipment, materials, and guidelines for active play and movement.
- G. The program promotes and maintains practices that are healthy and safe.

IV. STAFF DEVELOPMENT PROGRAM (*EC 8261; 5 CCR 18274*)

Each contractor shall develop and implement a staff development program that includes the following:

- A. Identification of training needs of staff or service providers.
- B. Written job descriptions.
- C. An orientation plan for new employees.
- D. An annual written performance evaluation procedure unless a different frequency of performance evaluations is specified in a contractor's collective bargaining agreement with their employees.
- E. Staff development opportunities that include topics related to the functions specified in each employee's job description and those training needs identified by the contractor.
- G. An internal communication system that provides each staff member with the information necessary to carry out his or her assigned duties.

V. PARENT INVOLVEMENT AND EDUCATION (*EC 8203; 5 CCR 18275*)

Each contractor shall include in its program a parent involvement and education component that includes the following:

- A. An orientation for parents that includes topics such as program philosophy, program goals and objectives, program activities, eligibility criteria and priorities for enrollment, fee requirements, and due process procedures.
- B. At least two (2) individual conferences with the parent(s) per year. For school age programs, such conferences may be informal.
- C. Parent meetings with program staff.
- D. An open door policy that encourages parents to participate in the daily activities whenever possible.
- E. A parent Advisory Committee that advises the contractor on issues related to services to families and children.
- F. Sharing information between staff and parents concerning their child's progress.

VI. HEALTH AND SOCIAL SERVICES (*EC 8203; 5 CCR 18276*)

Each contractor shall include in its program a health and social service component that:

- A. Identifies the needs of the child and the family for health or social services
- B. Refers a child and/or family to appropriate agencies in the community based on the health or social service needs
- C. Conducts follow-up procedures with the parent to ensure that the needs have been met

VII. COMMUNITY INVOLVEMENT (*EC 8203; 5 CCR 18277*)

Each contractor shall include in its program a community involvement component which shall include, but not limited to the following:

- A. Each contractor shall solicit support from the community including the solicitation for donated goods and services.
- B. Each contractor shall provide information to the community regarding the services available. Contractors may utilize media or other forms of communication in the community.

VIII. NUTRITION (*EC 8203; 5 CCR 18278*)

Each contractor shall include in its program a nutrition component that ensures that the children have nutritious meals and snacks during the time in which they are in the program. The meals and snacks shall be culturally and developmentally appropriate for the children being served and shall meet the nutritional requirements specified by the federal Child and Adult Care Food or the National School Lunch program.

IX. PROGRAM SELF-EVALUATION PROCESS (*EC 8261; 5 CCR 18270.5 and 18279*)

- A. Each contractor shall develop and implement an annual plan for its program self-evaluation process.
- B. The annual plan shall include the following:

1. A self-evaluation based on the use of the Coordinate Compliance Review (CCR) as defined in the Compliance Review of Contractors (5 CCR 18023(a)(2) and the compliance review instrument FPM/CM.
 2. An assessment of the program by parents using the Desired Results Parent Survey.
 3. An assessment of the program by staff and board members as evidenced by written documentation.
 4. An analysis of the CCR (FPM/CMR) findings, including the Desired Results Developmental Profiles, the environment rating scales, and the Desired Results Parent Survey, each of which are part of the Agency Self-Evaluation Report and are combined together with all other self-evaluation findings. (5 CCR 18270.5)
 5. A written list of tasks needed to modify the program in order to address all areas that need improvement, as indicated in the analysis of the Coordinated Compliance Review findings (5 CCR 18279(b)(4).
 6. Procedures for the ongoing monitoring of the program to assure that areas of the program that are satisfactory continue to meet standards, and areas requiring modification p of written task list above are addressed in a timely and effective manner. (5 CCR 18279(b)(5)
- C. The contractor shall use the Agency Annual Report to submit a summary of the findings of the program self-evaluation to the CDE by June 1 of each year.
- D. The contractor shall modify its program to address any areas identified during the self-evaluation as needing improvement.
- X. PARENT SURVEY (*EC 8261; 5 CCR 18280*)
- A. Each contractor shall annually distribute the Desired Results Parent Survey to parents; collect the surveys from parents; and analyze the results.
 - B. The contractor shall use the parent survey results to plan and conduct activities to help parents support their child's learning and development and to meet the family's needs.

- C. The contractor shall use the results and analysis of the parent survey as part of its annual self-evaluation process.

XI. ENVIRONMENT RATING SCALE (*EC 8261; 5 CCR 18281*)

- A. Center-based programs and family child care home networks shall complete an environment rating scale , that are appropriate for the type of setting and age of children served, to measure quality. (*5 CCR 18270.5*)
 - 1. Every three (3) years as part of the program compliance review
 - 2. Annually as part of the self-evaluation process
- B. For each environment rating scale completed, the contractor shall achieve a minimum average score of “Good” on each subscale.