

California Department of Education

PROGRAM REQUIREMENTS

FOR

ALTERNATIVE PAYMENT PROGRAMS

CAPP

FISCAL YEAR 2017–18

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**ALTERNATIVE PAYMENT PROGRAMS
PROGRAM REQUIREMENTS
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I. OPERATIONAL REQUIREMENTS

(EC 8203, 8203.1, 8203.5, 8206, 8235[d], 8245)

A. Purpose of Child Care and Development services

(EC 8201[a]-[h])

1. To provide a comprehensive, coordinated, and cost-effective system of child care and development services for children from infancy to thirteen years of age and their parents, including a full range of supervision, health and support service through full-and part-time programs.
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 place through understanding of human growth 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. Alternative Payment Programs (CAPP)

1. CAPP operate in a vendor payment mode (5 CCR 18013).
2. CAPP to provide for maximum parental choice, various methods of reimbursement for parental costs for child care may be utilized. Include the following:

- a. A subsidy that follows the family from one provider to another within a given CAPP.
- b. Choices, whenever possible, among hours of service including before and after school, evenings, weekends, and split shifts.
- c. Child care and development services according to parental choice, including those programs in the general service area and are in conformity with the purposes and applicable laws, but excluding state preschool programs. (EC 8220).

All payment arrangements shall conform to the eligibility criteria and the parent fee schedule (EC 8263, 8265).

- 3. CAPP shall serve an identifiable geographic area approved by the California Department of Education (CDE). (EC 8220.2).
- 4. To offer maximum support for parents and providers, CAPP shall have access to resource and referral services (EC 8220.5).
- 5. Alternative payments may be made for services provided in licensed centers and family day care homes, for care provided in the child's home, and for other types of care which conform to applicable law (EC 8221).

II. ELIGIBILITY CERTIFICATION AND FAMILY DATA FILE DOCUMENTATION

A. General Requirements

(EC 8221, 8263[a][1][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 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 exempt 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).
- 3. The determination of eligibility for child care and development services 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) are under a final order of deportation from the United States Department Justice (5 CCR 18107[d]).

4. Children who have reached their thirteenth birthday are ineligible for subsidized services except those children with exceptional needs. Severely disabled children may be served to age twenty-one. Children with exceptional needs shall also meet the criteria for that age group specified in *EC 56026*, and 5 CCR 18089.
5. The preferred placement for children who are eleven or twelve 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 or twelve shall continue to receive subsidized child care services when a before or after school program is not available (*EC 8263.4*).

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

Eligibility Criteria (*EC 8263[a][1]*)

In order for the family to be eligible for enrollment in federal and state subsidized child care services, families shall meet at least one requirement in each of the following areas:

Eligibility shall be established by 1, 2, 3, or 4 below:

1. Family is a current 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 the *Family Data File* section.

Need Criteria (*EC 8263[a][1][B]*)

Need shall be established by 1 or 2 below:

The family needs the child care and development services because:

1. The child is identified by a legal, medical, or social services agency, a local educational agency liaison for homeless children and youths designated pursuant to 42 US 11432(g)(1)(j)(ii), a Head Start program, or an emergency shelter or transitional shelter as:
 - a. A recipient of child protective services, or
 - b. Being neglected, abused, or exploited, or at risk of neglect, abuse, or exploitation, or
 - c. Being homeless.
2. The parent(s) are: (*EC 8263[a][1][B]*)
 - a. Employed,
 - b. Seeking employment,
 - c. Engaged in vocational training leading directly to a recognized trade, paraprofession, or profession,
 - d. Seeking permanent housing for family stability,
 - e. Incapacitated.

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 meets a need criterion (5 *CCR* 18085.5[a]).

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 the *Family Data File* section.

Priority of Services are as follows:
(EC 8263[b][1]and [2])

First Priority: (EC 8263[b][1])

1. Neglected or abused children who are recipients of child protective services; or
2. Children who are at risk of being neglected or abused.

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.

Second Priority: (EC 8263[b][2])

1. 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. Within this priority, families with the lowest gross monthly income in relation to family size shall be admitted first. The schedule for families is determined by the Superintendent. When two families meet the same priority based on family size and income, priority goes to a family with a child with exceptional needs. If there is no family with a special need, then the family that has been on the waiting list longer shall be admitted first. .

For full requirements see *Admission Priorities* section.

C. Certification of Eligibility and Need, Priority of Service
(EC 8261, 8263, 8265, 8269, 5 CCR 18082, 18094, 18095, 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 criteria for receipt of subsidized child care and development services prior to enrollment in the program. Required documents are listed in the *Family Data File Documentation* section. All information and documentation collected is maintained in the Family Data File (EC 8263[a][1] and[2], 5 CCR 18078[b])
2. The contractor shall designate the staff person(s) 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, documentation contained in the family data file, and other information as required (*EC 8261.5*).
 - c. Issue a Notice of Action, Application for Services (*5 CCR 18094*) and/or a Notice of Action, Recipient of Services upon recertification (*5 CCR 18095*).
3. At the time of certification and recertification families shall be informed of their responsibility to notify the contractor within five calendar days of any changes in family income, family size, or need for child care and development services(*5 CCR 18410[a]*).
 4. 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 (*EC 18407[c]*).

D. Contents of Family Data File
(*EC 8261, 8261.5, 8263, 8269, 5 CCR 18081*)

1. Contractors shall establish and maintain a family data file for each family receiving child care and development services.
2. The family data file shall contain a completed and signed application for services, and the following records as applicable to determine eligibility and /or need prior to enrollment as follows: (*EC 8263[a][1][A]* and [*B*]) *5 CCR 18081*)
 - a. Documentation of income eligibility, including an income calculation worksheet;
 - b. Documentation of employment;
 - c. Documentation of seeking employment;
 - d. Documentation of training;

- e. Documentation of parental incapacity;
 - f. Documentation of child's exceptional needs;
 - g. Documentation of homelessness;
 - h. Documentation of seeking permanent housing for family stability;
 - i. Documentation of referral for child abused, neglected, exploited, or at risk of abuse, neglect, or exploitation
 - j. Documentation of referral for child protective services;
 - k. If the parent of the child was on cash assistance, the date the parental cash aid was terminated.
3. A signed Child Care Data Collection Privacy Notice and Consent Form CD 9600A (Rev. 10/16) shall be included.
 4. Notice of Action, Application for Services and/or Recipient of Services shall be included.
 5. Documentation of Child Health and Emergency Contact Information.

The family data file shall contain all child health and current emergency information required by the *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 children attending a public or private elementary school or for children receiving care in licensed facilities and reimbursed pursuant to *EC 8220, 8350, (5 CCR 18081[e]. .*

III. Family Data File and Documentation

A. Application for Services (*EC 8261, 8263, 5 CCR 18083*)

The application for services shall contain the following information:

1. The parent's (s') full name(s), address(es), and telephone number(s); Parent is defined in *5 CCR 18078(m)*.

2. The names, genders, and birth dates of all children under the age of eighteen in the family, whether or not they are served by the program;
3. The number of hours of care needed each day for each child;
4. The reason for needing child care and development services as specified in (*EC 8263[a][1][B]*, 5 *CCR 18083[e]*):
 - a. Child Protective Services;
 - b. Employment;
 - c. Training;
 - d. Seeking Employment;
 - e. Incapacitation of the parent;
 - f. Special need of the child ; or
 - g. Seeking Permanent Housing for Family Stability.
5. 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.
6. Eligibility status as specified in (*EC 8263[a][1][A]*) is:
 - a. Child Protective Services;
 - b. Current Aid Recipient
 - c. Income Eligible; or
 - d. Homeless.
7. Family size and income, if applicable.
8. The parent's signature and date of the signature.

The signature of the contractor's authorized representative certifying the eligibility (5 *CCR 18082*).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]*).

B. Documentation and Determination of Family Size
(*EC 8261, 8263, 5 CCR 18100*)

1. 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. The parent shall provide supporting documentation regarding the number of children and parents in the family.
2. The number of children shall be documented by providing one of the following documents, as applicable:
 - a. Birth certificates;
 - b. Court orders regarding child custody;
 - c. Adoption documents;
 - d. Records of Foster Care placements;
 - e. School or medical records;
 - f. County welfare department records; or
 - g. Other reliable documentation indicating the relationship of the child to the parent.
3. If only one parent has signed an application and the information provided indicates there is a second parent who has not signed the application, the parent who has signed the application shall self – certify the presence or absence of the second parent under penalty of perjury. The parent who has signed the application shall not be required to submit additional information documenting the presence or absence of the second parent (*EC 8263[a][2]*).
4. 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 required documentation.
5. If the information provided by the parent is insufficient, the contractor shall request any additional documentation necessary to verify the family composition and family size.

6. 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 as specified in *EC* 8263(a)(1)(B), to receive services.

C. Documentation of Income Eligibility
(*EC* 8263, 8263.1, 5 *CCR* 18078[a], [i] and [s], 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:

1. 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:
 - a. 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
 - b. 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.
2. 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.
3. 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:
 - a. A letter from the source of the income;

- b. A copy of the most recently signed and completed tax returns with a statement of current estimated income for tax purposes; or
 - c. Other business records, such as ledgers, receipts, or business logs.
- 4. 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 18084[a][4]).
- 5. The contractor: (5 CCR 18084[b])
 - a. Shall retain copies of the documentation of total countable income and adjusted monthly income in the family data file.
 - b. When the parent is employed, the contractor 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.
 - c. When the parent is self-employed the contractor 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. 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.
 - d. The contractor 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.

- e. 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, exploited, or at risk of abuse, neglect, 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.

D. Calculation of Income

(EC 8261 8263, 8263.1, 5 CCR 18078[a], [q] and [s], 18096)

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

1. 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" pursuant to 5 CCR 18078(q).
2. When income fluctuates because of:
 - a. Agricultural work as referenced in 5 CCR 18078(j)(1) by averaging income from the 12 months preceding the initial certification, an update of the application, or the recertification that establishes eligibility for services.
 - b. Intermittent income as referenced in 5 CCR 18078(j)(2) by averaging the intermittent income from the preceding 12 months by dividing by 12 and then adding this amount to the other countable income.
 - c. Unpredictable income as referenced in 5 CCR 18078(j)(3) by averaging the income from at least three consecutive months and no more than 12 months preceding the initial certification, an update of the application, or the recertification that establishes eligibility for services.

3. 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.

E. Documentation of Need: Public Assistance
(*EC 8261, 8263, 5 CCR 18085*)

If the basis of eligibility 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.

F. Documentation of Need: Based on Employment, Seeking Employment, Training, Seeking Housing, and Incapacity
(*EC 8261, 8263, 8265, 5 CCR 18085.5*)

1. 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.
2. Subsidized child care and development services shall only be available to the extent to which:
 - a. The parent meets a need criterion as specified in subdivision (a) above 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.

G. Documentation of Need: Employment
(EC 8261, 8263, 5 CCR 18086)

1. 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.
2. If the parent has an employer, the documentation of need based on employment shall consist of one of the following:
 - a. The pay stubs provided to determine income eligibility that indicates the days and hours of employment;
 - b. 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:
 - i. Secure an independent written statement from the employer;
 - ii. Telephone the employer and maintain a record;
 - iii. 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.
 - c. 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 weeks and the verification.
 - d. Until such time as the employment pattern becomes predictable, need for services shall be updated at least every four months and shall be based on the above requirements listed and the child care services utilized;
 - e. 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 on the description of the employment and community practice; or

f. 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:

i. 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), and authorize only the time determined to be reasonable.

3. If the parent is self-employed, the documentation of need based on employment shall consist of the following:

Parent provided information that includes:

a. 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;

b. 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

c. 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.

e. 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.

- f. Need for services for unpredictable hours shall be updated at least every four months and shall be based on the requirements as stated above.
- g. 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 the other person holding the right of possession to verify the parent's renting of space;
 - ii. If the self-employment occurs in variable locations, independently verify 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.
- h. 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.
- i. 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.
- j. 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.

H. Documentation of Need: Employment in the Home or a Licensed Family Day Care Home
(EC 8261, 8263, 8265, 5 CCR 18086.1)

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

1. 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 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.
2. If the parent is a licensed family day care home provider pursuant to the California *Health and Safety Code (HSC)* Section 1596.78, or an individual license-exempt provider pursuant to the California *HSC* Section 1596.792, subdivisions (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.
3. If the parent is employed as an assistant in a licensed large family day care home, pursuant to the California *HSC* 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:
 - a. A copy of the family day care home license indicating it is licensed as a large family day care home;
 - b. 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);
 - c. 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

- d. Payroll deductions withheld for the assistant by the licensee, which may be a pay stub.

I. Documentation of Need: Seeking Employment; Service Limitations
(EC 8261, 8263, 8265, 5 CCR 18086.5, 18101)

- 1. 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 60 working days during the contract period, except as specified in 5 CCR 18086(d) and (e), or if the SSPI suspends the eligibility limitations pursuant to 5 CCR 18086.5(d).
 - a. Services shall occur on no more than five days per week and for less than 30 hours per week.
 - b. The period of eligibility shall start on the day authorized by the contractor and extend for consecutive working days.
- 2. 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.
- 3. 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 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.
- 4. If the Governor declares a state of emergency and if the factual basis for the Governor's declaration indicate 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 SSPI may investigate to determine whether the 60-working-days limitation described in paragraph (a) above 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.

5. 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.
6. If the parent has concurrently received services based on employment or vocational training for at least 20 working days while receiving services for seeking employment, eligibility for seeking employment may be extended for an additional 20 working days. For such a parent, services for this purpose shall not exceed 80 working days during the contract period.
7. 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.
8. The working days used to determine the period of eligibility shall include the consecutive Mondays through Fridays, excluding any federal holidays.

J. Documentation of Need: Training toward Vocational Goals; Service Limitations (EC 8261, 8263, 8265, 5 CCR 18087)

1. If the basis of need on the application for services is vocational training leading to a recognized trade, para-profession, or profession, child care and development services shall be limited, except for whichever expires first:
 - a. Six years from the initiation of services pursuant to this section; or
 - b. Twenty-four semester units, or its equivalent, after the attainment of a Bachelor's Degree.
2. The parent shall provide documentation of the days and hours of vocational training to include:
 - a. A statement of the parent's vocational goal;
 - b. The name of the training institution that is providing the vocational training;

- c. The dates that current quarter, semester, or training period, as applicable, will begin and end;
 - d. A current class schedule that is either an electronic print-out from the training institution of the parent's current class schedule or, if unavailable, a document that includes all of the following:
 - i. The classes in which the parent is currently enrolled;
 - ii. The days of the week and times of day of the classes; and
 - iii. The signature or stamp of the training institution's registrar.
 - e. The anticipated completion date of all required training activities to meet the vocational goal; and
 - f. 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; and.
3. 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 calendar days of requesting the change from the institution.
4. Services may be provided for classes related to the High School Equivalency Test (HSET) or English language acquisition if such courses support the attainment of the parent's vocational goal.
5. 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.
6. 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 school, or apprenticeship for which subsidized care is provided:

- a. In a graded program, earn a 2.0 grade point average; or
 - b. In a non-graded program, pass the program's requirements in at least 50 percent of the classes or meet the training institutions standard for making adequate progress.
7. The first time the parent does not meet the condition the parent may continue to receive services for one 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 the adequate progress services for this purpose shall be:
- a. Terminated; and
 - b. Available to the parent, to the extent provided on the basis of need above, and explained, after six months from the date of termination.
8. No later than 10 calendar days after the training institution's release of progress reports for 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:
- a. Have an official copy of a progress report sent directly from the training institution to the contractor; or
 - b. Provide a release, as may be required by the training institution, to enable the contractor to verify the parent's progress within the institution.
9. 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.
10. 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.

11. 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:
 - a. 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
 - b. Study time, including study time on-line and televised instructional classes, according to the following:
 - i. Two hours per week per academic unit in which the parent is enrolled;
 - ii. On a case-by-case basis and as may be confirmed with the class instructor, additional time not to exceed one hour per week per academic unit in which the parent is enrolled; and
 - iii. On a case-by-case basis, no more than the number of class hours per week for non-academic or non-unit bearing training.
12. The service limitations specified above shall not apply to a parent who demonstrates he or she is:
 - a. As of June 27, 2008, receiving services for vocational training and has attained a Bachelor's Degree;
 - b. Receiving services from a program operating pursuant to *EC* 66060;
 - c. Attending vocational training when the parent has been deemed eligible for rehabilitation services by the California Department of Rehabilitation; or
 - d. Attending retraining services available through the Employment Development Department of the State or its contractors due to a business closure or mass layoff.

K. Documentation of Need: Parental Incapacity; Service Limitations
(*EC* 8261, 8263, 8265, 5 *CCR* 18088)

1. If the basis of need as stated on the application for services is parental incapacity, child care and development services shall not exceed 50 hours per week.
2. 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.
3. The documentation of incapacitation provided by the legally qualified health professional shall include:
 - a. 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
 - b. 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;
 - c. The probable duration of the incapacitation; and
 - d. 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.
4. The contractor may contact the legally qualified health professional for verification, clarification, or completion of the provided statement.
5. 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.

L. Documentation of the Child's Exceptional Needs
(EC 8261, 8263, 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 through twenty-one years of

age, or the contractor is operating a program pursuant to *EC 8250(d)*, the documentation of exceptional needs shall include:

1. 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, 3031*; and
2. A statement signed by a legally qualified professional that:
 - a. The child requires the special attention of adults in a child care setting; and
 - b. Includes the name, address, license number, and telephone number of the legally qualified professional who is rendering the opinion.

M. Documentation of Eligibility: Homelessness
(*EC 8261, 8263, 5 CCR 18090*)

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

1. A written referral from an emergency shelter or other legal, medical, social service agency, local educational agency liaison for homeless children and youths, designated pursuant to Section 11432(g)(1)(J)(ii) of Title 42 of the United States Code, or a Head Start program; or
2. A written parental declaration that the family is homeless and a statement describing the family's current living situation.

N. Documentation of Need: Seeking Permanent Housing; Service Limitations
(*EC 8261, 8263, 5 CCR 18091*)

1. If the basis of need as stated in 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 60 working days during the contract period, except as specified below. Services shall occur on no more than 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.

2. 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.
3. 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 a signed statement from the shelter, transitional housing agency, or homeless support program regarding the parent's search progress to date.
4. If the parent does not expect to secure housing prior to the end of the eligibility period:
 - a. The parent may request an extension in a declaration of need signed under penalty of perjury 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
 - b. The contractor may authorize an extension of search eligibility for up to 20 working days.
5. 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.
6. As used in this section, the working days used to determine the period of eligibility shall include consecutive Mondays through Fridays, excluding any federal holidays.

O. Documentation of Eligibility/Need: Child Protective Services for Recipients Receiving Services; Children Identified As, or At Risk of Abuse, Neglect or Exploitation
(*EC* 8261, 8263[b][1], 18081[b][10], 18092)

1. If eligibility and need as specified in *EC* 8263(a)(1)(A) and (a)(1)(B), are based on a child receiving child protective services, the family data file shall contain a written referral, dated within the six months immediately preceding the date of application for services. The written referral shall include:
 - a. A statement from the local county welfare department, child protective services unit certifying that the child is receiving child protective services and the child care and development services are a necessary component of the child protective services plan; or
 - b. The probable duration of the child protective services plan or the at-risk situation; and
 - c. The name, address, telephone number, and signature of the legally qualified professional who is making the referral.

2. Child is identified as, or is at risk of abuse, neglect, or exploitation

If eligibility and need are based on the child being identified as abused, neglected, 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 Local Education Agency (LEA) liaison for homeless children and youth pursuant to 42 US 11432(g)(91)(j)(ii) certifying that:
 - i. The child is identified as being abused, neglected, 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.

- P. 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.

- Q. 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 (NOA), Application for Services, in accordance with 5 CCR 18118.

The contractor shall maintain copies of the NOA, Application for Services in the basic data file. The NOA, Application for Services shall include: (5 CCR 18094)

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 NOA, Application for Services in accordance with procedures specified in 5 CCR 18120, 18121, and the Due Process section.

R. Notice to Families of Their Responsibility to Notify Contractor of Changes to Family Circumstances
(5 CCR 18102)

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 calendar days of any changes in family income, family size, or the need for services as specified in EC 8263(a)(1)(B).

S. Updating the Application
(EC 8261, 8263, 5 CCR 18095, 18410)

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

1. For migrant and other seasonally employed families, the application shall be updated within 30 days whenever there is a change in family size as specified in 5 CCR 18083(e), or need if need is based on training or incapacity of the parent.
2. For all other families, the application shall be updated within 30 days whenever there is a change in family size, income, public assistance status or need for services.
3. 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, exploited, or at risk of abuse, neglect, or exploitation.

T. Recertification
(EC 8261, 8263(b)(1)(B) and (C), 5 CCR 18103)

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

1. Families receiving services because the child is at risk of abuse, neglect, or exploitation shall be recertified at least once every six

months. The family can continue to receive child care and development services based on any of the following reasons:

- a. The child is receiving protective services and child care and development services are part of the case plan.
 - b. The family meets other need and eligibility criteria pursuant to *EC 8263(a)(1)(A), (a)(1)(B)*.
2. Families receiving services because of actual abuse, neglect or exploitation shall be recertified at least every six 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.
 3. All other families shall be recertified at least once each contract period and at intervals not to exceed 12 months.

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

1. Contractors shall update the family's application to document continued need and eligibility to 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]*).
2. 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 NOA, Recipient of Services (*5 CCR 18119*).
3. The contractor shall maintain copies of all NOA, Recipient of Services in the family's basic data file. The NOA, Recipient of Services shall include: (*5 CCR 18095*)
 - a. The type of action being taken;
 - b. The effective date of the action;
 - c. The name and address of the recipient;

- d. The name and address of the contractor;
- e. The name and telephone number of the contractor's authorized representative who is taking the action;
- f. The date the notice is mailed or given to the recipient;
- g. The method of distribution to the recipient;
- h. A description of the action;
- i. A statement of the reason(s) for the changes;
- j. A statement of the reason(s) for termination, if applicable; and
- k. Instructions to the parent(s) on how to request a hearing if they do not agree with the contractor's decisions as stated in the NOA, 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.

IV. OTHER REQUIREMENTS

A. Limited Term Service Leave Requirements (*EC* 8261, 8263, 8265, 8269, 5 *CCR* 18104)

- 1. If the family will temporarily not have a need for 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, breaks in employment, school breaks, 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 5 *CCR* 18066(f).
Family leave means a leave:
 - a. For the birth and care of the newborn child of the parent;

- b. For placement with the parent of a child for adoption or foster care; and
 - c. To care for the parent's child, spouse, or parent who has a health condition.
- 2. If the contractor offers limited term 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 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;
 - 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 12 consecutive weeks in duration, except as specified.
- 5. A limited service leave from employment or training shall not exceed 16 consecutive weeks in duration if the leave is for:
 - a. Medical and family leave; or
 - b. A period when the vocational training program is not in spring, fall, or winter sessions.

V. ADMISSION POLICIES AND PROCEDURES

A. General Admission Procedures (EC 8203, 8263, 5 CCR 18105[a])

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)

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

1. Admission Priorities (EC 8261, 8236, 8263[b], 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][A]) 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.
- c. 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 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]*).

- d. 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]*).
- e. 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.

C. Waiting List and Displacement of Families
(*EC 8227[e]*, *8236*, *8261*, *8263 3[b]*, 5 *CCR 18106*)

Contractors shall maintain a current waiting list in accordance with admission priorities. Contractors may satisfy the requirement for maintaining a waiting list by participating in a county child care centralized eligibility list, where applicable. 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]*).

If it is necessary to displace families, families shall be displaced in reverse order of admission priorities.

VI. FAMILY FEES
(*EC 8273*, *8273.2*, 5 *CCR 18108*, *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 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
(*EC 8273*, *8273.2*, 5 *CCR 18109*)

Families shall be assessed a flat fee based on:

1. Adjusted monthly family income.
2. Family size.
3. The fee shall be assessed and collected based on the family's child who is enrolled for the longest period.
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.

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 (5 CCR 18109[b]).

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[c]).

For child protective services and at risk children, that do not have a fee exemption in families whose adjusted monthly income is over 70 percent of the state median income based on the family fee schedule, the family will pay the amount of fees assessed to a family whose total adjusted monthly income is 70 percent of the state median income (EC 8273.1).

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

No fees shall be collected from the following types of families whose children are enrolled:

1. Families with an income level that, in relation to family size, is less than the first entry in the fee schedule;
2. Families receiving CalWORKs cash aid;
3. Families whose children are enrolled in part-day CSPP;
4. Families whose children are eligible for services pursuant to EC 8263(b)(1)(B) may be exempt from family fees for up to three months if the case plan/referral so specifies; and

5. Families whose children are eligible for services pursuant to *EC 8263(b)(1)(C)* may be exempt from family fees for up to twelve months if the case plan/referral so specifies.

Note: Pursuant to *EC 8273.1*, the total period of exemption from family fees pursuant to subsections (4) and (5) above shall not exceed 12 months.

D. Co-Payments

(*EC 8269, 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, recreation and field trips. 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. (*5 CCR 18111[a]*)

A contractor or a provider of service need not make a refund as specified in subdivision (a) above when the family is enrolled in an Alternative Payment Program and the parent(s) has voluntarily placed the child with a service provider that requires all parent(s) to provide a sack lunch or supplies such as diapers (*5 CCR 18111[b]*).

The contractor may require parents to provide diapers. The contractor providing field trips may charge parents the cost of the field trip or may charge parents an additional 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. (*EC 8273.3[a]*) A contractor may charge parents for field trips or require parents to provide diapers, subject to all of the following conditions: (*EC 8273.3[b]*)

1. The contractor has a written policy adopted by the agency's governing board that includes the parents' in the decision making process regarding both of the following:
 - a. Whether or not, and how much, to charge for field trip expenses.
 - b. Whether or not to require parents to provide diapers
 - i. The maximum total charges per child in a contract year does not exceed \$25.
2. 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 (*EC* 8273.3(b)(B)(3) and (4)).

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. Income received shall be reported as restricted income.

F. Credit for Fees Paid to Other Service Providers
(*EC* 8269, 8273, 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. (5 *CCR* 18112[a])

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. (5 *CCR* 18112[b])

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[c]).

G. Receipt for Payment of Fee
(*EC* 8269, 8273, 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, 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 services through Alternative Payment programs, fees shall be considered delinquent on the date the contractor is notified by the provider that fees have not been paid.

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 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. Offset of Family Fees Paid to Providers
(EC 8269, 8273, 5 CCR 18228)

If the contractor's policy allows parents to make direct payments of their fees to the provider, the provider shall submit a copy of the parent's receipt to the contractor.

The contractor shall offset the amount of the fee paid by the parent in calculating the reimbursement due to the provider.

The contractor shall report the amount of fee collected and retained by the provider as "income" on the attendance and expenditure reports as specified in 5 CCR 18068.

The contractor shall report its payment to the provider along with the amount of fees paid directly by the parent which served in lieu of payment from the contractor to the provider as "expense" on the attendance and expenditure reports.

VII. CONFIDENTIALITY OF RECORDS
(EC 8358.5 1, 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.

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

A. Notice of Action, Application for Services
(5 CCR 18094)

1. The contractor's decision to approve or deny services shall be communicated to the applicant by mailing or delivering a completed statement referred to as a Notice of Action, Application for Services within 30 calendar days from the date the application is signed by the parent(s).
2. 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.
3. If services are approved, the notice shall also contain:
 - a. Basis of eligibility;
 - b. Daily/hourly fee, if applicable;
 - c. Duration of the eligibility;
 - d. Names of children approved to receive services; and
 - e. Hours of service approved for each day.
 4. 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 in accordance with procedures specified in 5 CCR 18120 and 18121.

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

If upon re-certification 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) below. The contractor shall maintain copies of all Notices of Action, Recipient of Services in the family's family 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;
11. Instructions for the parent(s) on how to request a hearing if they do not agree with the contractor's decisions in accordance with procedures specified in clients request for a hearing (5 CCR 18120) and appeal procedures (5 CCR 18121).

C. Changes Affecting Services
(EC 8263[c], 5 CCR 18119)

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 14 calendar days before the effective date of the intended action whenever:

1. The contractor has factual information that confirms the death of the parent or the child;
2. The contractor receives notification from the parent that the parent no longer wants the service;
3. 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 services would terminate; or
4. The parent does not provide eligibility or need information after a written request by the contractor.

D. Parent(s) 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 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 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 designated 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 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 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 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 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 CDE, services to the family shall cease upon receipt of the CDE's decision by the contractor.

IX. INFORMATION ON CONTRACTOR POLICIES
(EC 8222, 8261, 8357, 8447(b), 5 CCR 18221)

The contractor shall develop and implement a written policy statement which shall include information regarding:

- A. A description of the program's purpose, design, and organization framework
- B. Priorities for enrollment
- C. Family eligibility requirements
- D. Conditions for participation
- E. Reimbursement of providers not to exceed the applicable regional market rate ceiling for the type of care provided
- F. Requirements for provider participation
- G. Range of services available including licensed care, sectarian care, and exempt care including in-home care.
- H. Parent fee collection policy and procedures including direct reimbursement payment of fees to the provider, if allowable.

- I. Voucher or certificate procedures ensuring that the certificate will be easy for the parent to obtain, the provider will receive timely reimbursement for services rendered and that the parent may use the certificate with any provider at the applicable regional market rate ceiling established by statute (unless the parent is willing to make a co-payment if the provider is above the applicable regional market rate ceiling established by statute).

X. INFORMATION TO BE GIVEN TO PARENTS

(*EC 8225, 8226, 8261, 5 CCR 18222 18224.4[b]*)

- A. The contractor shall provide parents with the following information upon enrollment in the program:
 1. The policy statement as specified in 5 CCR 18221.
 2. Information regarding the confidentiality of records.
 3. Information regarding grievance procedures for parents, including information regarding Uniform Complaint Procedures.
 4. Information regarding the rights of parents to change child care setting
 5. If the parent(s) speak(s) a language other than English or is (are) hearing impaired, the information shall be provided either through written materials or by presentation of an interpreter in the language the parent understands.
 6. Responsibility to sign and submit the Health and Safety Self-Certification for non-relative license-exempt care and responsibility to sign and submit the Declaration of Exemption from TrustLine Registration and Health and Safety Self-Certification for care provided by the child's grandparent, aunt, or uncle.
 7. Information regarding legal and financial reporting requirements if the parent selects in-home care.
 8. Information regarding the voucher or certificate procedures.
- B. Within two business days of receiving license suspension or revocation information from the Resource and Referral program, the contractor shall notify in writing the parents utilizing the facility

that the reimbursement has been terminated and the reason for the termination.

- C. Within two days of being notified by the Resource and Referral program that a facility has been placed on probation, the contractor shall provide written notice to the parents utilizing the facility that the parents have an option to select a different child day care provider or to remain with the facility without risk of subsidy reimbursement being terminated.
- D. When making referrals:

Contractors operating both a direct service program and an Alternative Payment program shall provide at least four referrals, at least one of which shall be a provider over which the contractor has no fiscal or operational control, as well as information on the family's ability to choose a license-exempt provider (*EC 8225*).

- 1. Contractors shall provide information to any person who requests a child care referral of his or her right to view the licensing information of a licensed facility required to be maintained at the facility pursuant to Section 1596.859 of the Health and Safety Code and to access any public files pertaining to the facility that are maintained by the State Department of Social Services Community Care Licensing Division (*EC 8226*).

XI. PROCEDURES FOR PROVIDER PARTICIPATION (*EC 8261, 5 CCR 18223*)

- A. The contractor shall develop and implement written policies and procedures for provider participation which include the following:
 - 1. Maximizing parental choice with consideration of the contractor's ability to pay for the services within the funding provided in the annual child development contract.
 - 2. Procedures for ensuring that:
 - a. The provider selected by the parent is licensed or a registered child care provider prior to receiving reimbursement for services;
 - b. License-Exempt family child care or in-home providers (except grandparents, aunts and uncles) complete a Health and Safety Self-Certification and TrustLine application process within 14 calendar days

3. Acceptance, rejection and termination of provider affiliation with the program.
4. Grievance procedures for parents and providers in the program.

XII. WRITTEN MATERIALS TO BE GIVEN TO PROVIDERS
(EC 8261, 5 CCR 18224)

The contractor shall give to all providers the following information:

1. A copy of the contractor's policy statements as specified in 5 CCR 18221(e), (f), and (h), 18223, 18226;
2. A statement prohibiting the provider from engaging in any form of unlawful discrimination;
3. A schedule for when the reimbursement of services will be made, which shall be signed by the provider, and
4. Instructions on enrollment and recordkeeping requirements.

XIII. PLAN FOR CONTINUITY OF SERVICES AND EXPENDITURES
(EC 8263, 5 CCR 18225)

The contractor shall develop and implement a plan to ensure that services are provided to families enrolled in the program continuously throughout the contract period.

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 state of federally funded program for which the family continues to be eligible prior to the date of termination of services. The transfer of enrollment may be to another program within the same contracting agency or to another agency that administers state or federally funded child care and development programs.

XIV. PLAN FOR PROVIDER REIMBURSEMENTS AND CERTIFICATES
(EC 8261, 5 CCR 18226)

The contractor shall develop and implement a plan for the timely reimbursement to providers. The plan shall include a description of parent fee collection methods in accordance with the policy required above (5 CCR 18221[h]).

Procedures shall include measures to ensure security of certificates and prevent fraud and/or abuse and provide for timely redemption of certificates by either parents or providers.

Within two business days of receiving license suspension or revocation notification from the Resource and Referral program, the contractor shall terminate payment to the affected facility as of the effective date of the suspension or revocation.

XV. ELIGIBLE PROVIDERS FOR ALTERNATIVE PAYMENT PROGRAM
(EC 8221.5, 5 CCR 18227)

- A. In addition to any other requirements that may be applicable, to be eligible for reimbursement, a provider must a child care center that is one of the following:
1. Licensed, pursuant to Chapter 3.35 of Division 2 of the *Health and Safety Code*, commencing with Section 1596.70; or
 2. A center operated on tribal or federal lands; or
 3. A center or program exempt from licensure, pursuant to *Health and Safety Code* section 1596.792(g), (h), (i), (j), (k), or (l), or section 1596.793, that meets the following requirements for reimbursement from an Alternative Payment program:
 - a. Meets minimum attendance and invoice requirements pursuant to EC 8221.5; and provides adult supervision for all children during all hours of operation; and
 - b. Submits a signed statement to the program director certifying that all employees who have contact with children have completed criminal history background examinations comparable to the criminal history background examinations required by Chapter 3.35 of Division 2 of the *Health and Safety Code*, commencing with Section 1596.60.
 4. A family child care home that is:
 - a. Licensed, pursuant to *Health and Safety Code*, commencing with Section 1596.70; or

- b. Providing child care services in a home setting on tribal or federal land.
5. An individual exempt from licensure, pursuant to *Health and Safety Code* sections 1596.792(d) or (f), who does not have active tuberculosis and has not been convicted of any crime involving violence against, or abuse or neglect of, children and is:
- a. Pursuant to *Health and Safety Code* Section 1596.66(a), an aunt, uncle, or grandparent of the child receiving services; or
 - b. A registered TrustLine provider, pursuant to *Health and Safety Code* Section 1596.605; or
 - c. A provisional child care provider pursuant to 5 *CCR* 18078(o) who becomes TrustLine registered within 30 calendar days as provided in 5 *CCR* 18227.1.

XVI. PROVISIONAL CHILD CARE
(5 *CCR* 18227.1)

- A. A family may select a provisional child care provider as defined in 5 *CCR* 18078(o) if there is an immediate need for child care.
- B. A family may use a provisional child care provider during a single 30 calendar day period. The first day on which child care services are provided marks the beginning of this 30 day period.
- C. At the conclusion of 30 consecutive calendar days the provisional child care provider must become TrustLine registered and, if so, may be reimbursed for child care services performed or the parent shall select an eligible provider who can meet the parent's need for care.

XVII. RECEIPT OF NOTIFICATION OF TEMPORARY SUSPENSION OR LICENSE REVOCATION FROM RESOURCE & REFERRAL PROGRAM. NOTIFICATION OF PARENTS AND FACILITIES
(EC 8261, 8212 and 8220; 5 *CCR* 18224.2)

- A. When an Alternative Payment program is notified by the Resource and Referral program that a licensed child care facility's license has been temporarily suspended or revoked, the Alternative Payment

program shall do the following within two business days of receiving the notification:

1. Terminate payment to the licensed child care facility for services provided as of the effective date of the temporary suspension or license revocation. The facility will be reimbursed for services provided prior to that date;
2. Notify the licensed child care facility and the parents funded by the Alternative Payment program and enrolled in the facility in writing that the payment has been terminated and the reason for the termination; and
3. To extent feasible, the Alternative Payment program shall provide the notice to the parent in the primary language of the parent.

- B. The Alternative Payment Program shall document action taken pursuant to (1) and (2) above. The Alternative Payment Program shall retain the documentation and make it available to the California Department of Education upon request.

XVIII. RECEIPT OF NOTIFICATION OF PROBATIONARY STATUS OF PROVIDER OR FACILITY FROM RESOURCE AND REFERRAL PROGRAM. NOTIFICATION OF PARENTS AND FACILITIES (5 CCR 18224.4)

- A. Notification applies to providers already on probation and to providers that are placed on probation.
- B. When an Alternative Payment program is notified by the Resource and Referral program that a facility has been placed on probation, the Alternative Payment program shall provide, within two business days, written notice to the parents funded by the Alternative Payment program enrolled in the facility that the facility has been placed on probation and that the parents have an option to make different child care arrangements or may remain with the facility without risk of subsidy payments being terminated.
- C. To the extent feasible, the Alternative payment program shall provide the notice to the parent in the primary language of the parent.
- D. The Alternative Payment program shall document notification provided pursuant to (B) above. The Alternative Payment program

shall retain the documentation and make it available to the CDE upon request (*EC 8261, 8212, 5 CCR 18224.4*)

XIX. NOTIFICATION OF INELIGIBLE STATUS OF A LICENSED-EXEMPT PROVIDER
(5 *CCR 18224.6*)

- A. A license-exempt provider shall not be eligible to receive reimbursement for child care and development services when an Alternative Payment program is notified by the California Child Care Resource and Referral (R&R) Network that the provisional child care provider's:
 - 1. TrustLine case has been closed; or
 - 2. TrustLine application has been denied; or
 - 3. TrustLine application has not been approved within the 30-day period pursuant to 5 *CCR 18078(o)*.

- B. A license-exempt provider shall not continue to receive reimbursement for child care services when an Alternative Payment Program:
 - 1. Is notified by the R&R Network that the provider's TrustLine registration has been revoked; or
 - 2. Receives reliable and documented information that a license-exempt provider has:
 - a. Active or contagious tuberculosis; or
 - b. Been convicted of any crime involving violence against, or abuse or neglect of, children.

- C. Upon receipt of any of the documented information above, the Alternative Payment program shall terminate reimbursement to the provider for services provided as of the effective date on the TrustLine revocation notice or the date on which the Alternative Payment Program received reliable and documented information of active or contagious tuberculosis or of a conviction of any crime involving violence against, or abuse or neglect of, children. The provider will be reimbursed for services provided through the effective day of the TrustLine revocation or the day of receipt of documentation of active or contagious tuberculosis, or a conviction

of any crime involving violence against, or abuse or neglect of, children.

- D. Upon receipt of the documented information, the Alternative Payment Program shall do all of the following:
1. Notify in writing both the provider and the parent of the child receiving services that the payment has been denied or terminated, as applicable, and the reasons for the denial or termination; and
 2. Refer the parent to the local Resource and Referral Program for assistance with finding a new provider; and
 3. Document the action and retain the documentation and make it available to the CDE upon request. When this action affects the provider of a current CalWORKs cash aided parent, the program shall inform the local county welfare department if services cannot be transferred to another provider without a gap in services.

XX. RECORDS ON FILE CONCERNING IN-HOME SERVICE PROVIDERS AND OTHER LICENSE EXEMPT SERVICE PROVIDERS
(EC 8261, 8269, 5 CCR 18230)

- A. If the contractor's policies allow payment for in-home care, the contractor shall maintain in its file the following records concerning in-home care providers:
1. A description of the caregiver's qualifications and work experience obtained during a personal interview with the care-giver.
 2. A declaration by the care giver that he or she is in good health.
 3. A signed statement from the parent verifying that the parent has interviewed and approved of the caregiver.
 4. A California driver's license number or other valid and recognized form of identification to verify that the caregiver is at least eighteen years of age.

XXI. RECORDS ON FILE CONCERNING SERVICE PROVIDERS
(C.F.R. 98.31, EC 8261, 5 CCR 18231)

The contractor shall maintain in its files the following records concerning each service provider:

- 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 providers caring for their children during normal hours of provider operation and whenever the children are in the care of the provider.

XXII. IN-HOME CARE (FAIR LABOR STANDARDS ACT (FLSA) REQUIREMENT, TITLE 29, U.S. SECTION 206)

- A. Contractors shall ensure that, for license-exempt individuals providing subsidized child care services in the home of the child, the sum of the subsidy reimbursement, the family fee, and any additional parent payment is equal to or greater than the applicable state or local minimum wage. At the time that a child(ren) is enrolled or at re-certification, the contractor shall ensure the minimum wage requirement is met through one of the following:
- B. Determine the minimum number of children or combination of children by reimbursement-age category needed for the reimbursement, inclusive of any parent fee, to meet or exceed minimum wage. Note: The contractor may adopt policies identifying the minimum number of children needed to meet this requirement.
- C. Divide the estimated reimbursement, inclusive of any parent fee, by the estimated hours to be worked for that period to determine if the

quotient meets or exceeds the minimum wage. Note: Use hours to be worked, not hours per each child for whom care is provided.

- D. If the parent chooses to be the employer, require the parent to submit copies of employer documents filed with the appropriate federal and state agencies, copies of check stubs to the provider, and copies of any required withholding tax payments for an amount that in conjunction with the reimbursement, inclusive of any parent fee, equals or exceeds minimum wage. Note: In this case, reimbursement should be in the form of a two-party check to both the parent and the provider.

XXIII. INFORMATION TO SHARE WITH THE PARENTS

Effective on January 1, 2007, 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.

**ALTERNATIVE PAYMENT PROGRAM
QUALITY REQUIREMENTS
Fiscal Year 2017–18**

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

Each contractor shall 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 requirements contained in all of the sections of this article.

The goals and objectives shall reflect the cultural and linguistic characteristics of the families served by the contractor.

II. 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.
- 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 descriptions and those training needs identified by the contractor; and
- F. An internal communication system that provides each staff member with the information necessary to carry out his or her assigned duties.

III. COMMUNITY INVOLVEMENT (EC 8261; 5 CCR 18277)

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

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

IV. PROGRAM SELF-EVALUATION PROCESS (EC 8261, 5 CCR 18270.5, 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 Federal Program Monitoring/Contract Monitoring Review (FPM/CMR);
 - 2. An assessment of the program by staff and board members as evidenced by written documentation;
 - 3. A written list of tasks needed to modify the program in order to address all areas that need improvement, as indicated in the analysis specified in 5 CCR 18279(b)(4);
 - 4. 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 pursuant to 5 CCR 18279(b)(5) are addressed in a timely and effective manner.
- 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 (5 CCR 18270.5[a]).
- D. The contractor shall modify its program to address any areas identified during the self-evaluation as needing improvement.