



California Department of Education Early Education and Support Division

Written Information for Parents and Providers: Alternative Payment Programs **CAPP, C2AP, and C3AP**

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Parent & Provider Written Information Content

- **General Requirements for Program Policies and Procedures**
- **Written Information for:**
 - ✓ **Parents**
 - Program Qualifications & Certification
 - Maintaining Eligibility, Updating Information, Re-certification, and Termination of Services
 - ✓ **Parents and Providers**
 - ✓ **Providers**
 - ✓ **Written Information Receipt**
- **Resources**



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General Requirements for Program Policies and Procedures

- Contractors must develop written admission policies and procedures which shall be made available to the public *California Code of Regulations*, Title 5 (5 CCR) Section 18105
- Contractors must develop and implement a written policy statement and program description; the written statement shall include: (5 CCR sections 18221, 18222, and 18223)
 - Program purpose, design, and organization
 - Family eligibility requirements, priorities, enrollment procedures
 - Family fee assessments



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General Requirements Program Policies and Procedures (cont.)

- Conditions for participation in subsidized child care
- Due process, rights and responsibilities (Notice of Action; Parent Appeal Information)
- Grievance procedures
- Provider participation and reimbursement requirements
- Information to parents must be written in terms that are understandable and reflects the cultural and linguistic characteristics of families served by the contractor

General Requirements

Program Policies and Procedures (cont.)



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- The information to parents must be provided through written material, or through an interpreter in a language the parent understands (5 *CCR* Section 18222)
- Provider information must be written or presented by an interpreter in a language understood by the provider (5 *CCR* sections 18223 and 18224)
- Informed parental choice options, including Title 5 and Head Start programs, (45 *Code of Federal Regulations (CFR)* , Section 98.30)



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Parent Information: Program Content

Contractor's Mission and Involvement in the Community

- Program philosophy, goals and objectives of the Contractor, and for serving the community
- Non-discrimination policy
- Americans with Disabilities Act statement
<https://www.ada.gov/chcinfo.pdf>

Program Information

- Ages of children served, days & hours of operation, location(s), open door policy, equal access to services



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Parent Information: Program Content

(cont.)

- Parent orientation & confidentiality
- Parental choice/options and how to select quality care
- Types of child care services available, including California State Preschool Program (CSPP) and/or Head Start
- Explanation of the voucher program and certificate/voucher for child care, (45 *CFR* Section 98.2)
- Parental co-payment
- TrustLine and Provisional child care policy, 30 day limitation, (5 *CCR* Section 18227.1), MB 13-01, <http://www.cde.ca.gov/sp/cd/ci/mb1301.asp>



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Example of Types of Services Statement

ABZ is an Alternative Payment Program that operates with state and federal funds.

- Our goals are to promote parental choice, accommodate the individual needs of the family, and ensure that families receive information to help them make informed choices of care for their children.
- We offer eligible families a choice to enroll in Early Head Start/Head Start program, California State Preschool Programs, private centers, family child care home education network, licensed family child care home, sectarian care, and licensed exempt providers, (45 *CFR* Section 98.30.)



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Example of Child Care Certificate/voucher Statement

The certificate/voucher is issued to the parent and must be used to obtain child care services for their child(ren). Based on the regional market rate the certificate/voucher issued for the maximum allowed for the type of care, the age of the child, and the parents' certified need for care.

Parents who choose a provider with a higher rate are responsible for any amount above the value on the certificate.

Parents must report changes in family size, income, or need for services (i.e. change in work/training schedule, change of job, etc.), within five calendar days of a change.



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Example of Parent Co-payment Statement

A parent may choose a provider regardless of the provider's rate. When the provider's rate plus other allowable charges exceeds the maximum voucher amount, this difference is known as the "co-payment".

The parent is responsible to pay the co-payment to the provider.

Note: ABZ is not responsible for collecting co-payments.



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Parent Information: How to Qualify for Services

How Parents Qualify for the Program

- Program enrollment priorities for CAPP, C2AP, & C3AP
- Eligibility criteria and required documentation
- Family size and required documentation
- Need criteria and required documentation

Enrollment Process

- Notification process for enrollment appointment
- Documents to bring to the appointment
- Family fee assessment process, MB 14-03a
- Completion of Application for Service with staff
- Due process – rights and responsibilities



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Examples of Documentation for Eligibility

The parent must provide documentation to establish eligibility for the following criteria:

- Eligibility, income, CPS, etc.
- Family size, i.e. birth record for each child counted in the family size
- Need for services, i.e. employment, vocational training, incapacity, etc.



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Examples of Documentation for Eligibility (cont.)

Eligibility is based on the documentation and the verification of at least one of the following:

- Income, 70 percent of the SMI adjusted for family size verified by the number of adults/children counted in the family
- Child Protective Services
- At risk of abuse, neglect, and/or exploitation
- Homelessness
- For families transferring from Stage 1 or Stage 2 to Stage 2 or Stage 3; agency is responsible for transferring eligibility information to the receiving agency

Note: The Parent is responsible for providing the required documentation. The Contractor is responsible for verifying as applicable.



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Example of Adjusted Monthly Income Statement

5 CCR Section 18078(a)(1-14), (s)(1-20)

- (a) “Adjusted monthly income” means the total countable income as defined in subdivision (s), **minus** verified child support payments paid by the parent whose child is receiving child development services, **and excluding the non-countable income.** (See Appendix A)
- (s) “Total countable income” means all income of the individuals counted in the family size that includes, but is not limited to, the following: (See Appendix A)



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Examples of Need Documentation Statements

The need for child care is based on documentation and verification of at least one of the following:

- Child Protective Services (5 *CCR* Section 18092)
- At-risk (5 *CCR* Section 18092.5)
- Parental incapacity (5 *CCR* Section 18088)
- Employment (5 *CCR* sections 18086 and 18086.1)
- Training toward vocational goal (5 *CCR* Section 18087)
- Actively seeking employment (5 *CCR* Section 18086.5)
- Seeking permanent housing (5 *CCR* Section 18091)
- For families transferring from Stage 1 or Stage 2 to Stage 2 or Stage 3; agency is responsible for transferring eligibility information to the receiving agency



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Examples of Family Fee Statements

- Monthly Family Fee may be assessed based on Certified Need, Income, and Family Size, MB 14-03a (5 *CCR* sections 18108–18116).
- Fees are either part-time or full time monthly fees based on the certified hours of care, not per child.
- Fees are only assessed at initial certification, up-date, or recertification.
- Fees are not adjusted for absences.
- Credit is given for child care fees paid to other service providers when assigned provider is not able to meet all the family's certified need for child care. A receipt or cancelled check for the fees paid is required. The credit is applied to the next billing period.



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Examples of Family Fee Statements (cont.)

- Family fee is paid in advance of service.
- Fees are delinquent seven (7) calendar days after due date. Services will be terminated unless paid by effective date of NOA, **OR**
- A reasonable repayment plan will be accepted and the parent must comply with the repayment plan for continued services.



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Examples of Notice of Action (NOA) Statements

A NOA is issued to the parent at:

- initial certification to approve or deny services
- update to need and/or eligibility that results in a change to the family fee and/or child care hours
- recertification
- or when family fee payment is delinquent

The NOA will include information regarding parent's right to appeal the action(s) being taken.

Parent Appeal Information Pamphlet:

<http://www.cde.ca.gov/sp/cd/ci/parentappealinformation.asp>



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Parent Information: Remaining Eligible & General Policies

How the Parent Continues in the Program

- Maintaining ongoing eligibility
- Up-date: parent's responsibility for notification of changes in income, need and family size within five (5) calendar days
- Recertification process
- Abide by Contractor policies and procedures

General Policies

- Attendance/utilization policy per MB 14-04
<http://www.cde.ca.gov/sp/cd/ci/mb1404.asp>
- Limited term service leave, if offered
- Parent's right to change child care settings and providers (when applicable)
- Conditions for use of multiple providers

Parent Information: Remaining Eligible & General Policies (cont.)



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- Confidentiality of records
- Multiple providers allowance for educational center experience for preschool
- Grievance procedures (remains at the Contractor – local- level)
- How to file a Uniform Complaint Procedure for violations of federal or state laws governing educational programs, including allegations of unlawful discrimination, harassment, intimidation, bullying. <http://www.cde.ca.gov/re/cp/uc/ucpbrochureaav.asp>

Note: provide an explanation of the difference in functions between a NOA and filing a grievance



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Parent Information: Remaining Eligible & General Policies (cont.)

Examples of Contractor's Policies and Procedures:

All policies must be reviewed & approved by the Board

- Harassment policies: inclusive of but not limited to a person whose behavior presents a risk to children or staff. Be specific-using profane language, making threats, destroying property, etc. to be reviewed and approved by the Board.
- Sexual Harassment
- Weapons Policy
- Drug Policy

*Note: Parent agreement to abide by agency's
policies, procedures*



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Parent Information: Remaining Eligible & General Policies (cont.)

Examples of causes for termination may include:

- Failure to meet eligibility and/or need requirements
- Knowingly misrepresenting eligibility, using incorrect or inaccurate information to obtain a benefit that the parent would otherwise not be entitled to receive
- Violation of agency policies and procedures

*Note: termination must conform to Notice of Action
due process requirements*



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Parent and Provider: Monthly Attendance Record or Invoice Requirements

- Parents are responsible to utilize the certified child care hours noted on the certificate/voucher.
- Contractors will develop and implement policies, including a definition for “broadly consistent with the certified hours of need” with clear and consistent consequences for program violations.
- Contractors are responsible for ensuring the use of child care is consistent with the child care certificate/voucher.

For guidance see MB 14-04

<http://www.cde.ca.gov/sp/cd/ci/mb1404.asp>



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Parent and Provider: Monthly Attendance Record or Invoice Requirements (cont.)

Providers must submit a Monthly Attendance Record or Invoice containing the following (California *Education Code* Section 8221.5):

- name of the child receiving services;
- specific date services were provided;
- actual times the child entered/departed care for each day services were provided; and
- signatures of both provider and parent at the end of each month, attesting under penalty of perjury, that information provided on the attendance record or invoice is accurate.

Providers are reimbursed based on the certified hours of care on the certificate/voucher



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Parent and Provider Monthly Attendance Record/Invoice Policy

Contractors must develop written policies for parents and providers describing requirements and responsibilities, including clear and consistent consequences for the following:

- Process and timeline to submit attendance records/invoices
- Policy and procedure for timely reimbursement
- Procedures for follow-up when attendance is not broadly consistent with certified need.
 - Update to need, or adverse action
- Improper receipt of service i.e. misrepresentations of attendance records or invoices



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Examples of Attendance-Utilization Policy Statements

(cont.)

When the parent's utilization of the certified child care schedule falls below the XX% threshold, the following shall occur:

- The parent will be called to discuss the low use and if needed a change of the certified child care would be issued

The Contractor may issue upon the first event a warning letter. On the second event either a warning letter or termination NOA may be issued.



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Examples of Attendance Record/Invoice Process Statement

Parent or provider will complete the attendance record/invoice, (MB 14-04):

- Contractor or parent will fill the actual time of arrival and departure
- Provider and parent must sign the at the end of the month stating the information is accurate under penalty of perjury



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Examples of Attendance Record/Invoice Process Statement (cont.)

Contractor must inform the provider of the procedures for requesting reimbursement for services.

- Timeline for submitting the monthly attendance record/invoice
- Reimbursement timeline
- Policy for incomplete attendance record/invoice
- Other contractor policies



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Limitations on Child Care Reimbursement

Must cover:

- Regional Market Rate Ceiling, (5 CCR Section 18074.1(c))

MB15-07 <http://www.cde.ca.gov/sp/cd/ci/mb1507.asp>

MB16-09 <http://www.cde.ca.gov/sp/cd/ci/mb1609.asp>

- Limiting reimbursement for provider non-operational days to a maximum of 10 days per fiscal year (5 CCR Section 18076.2(b)(2))
- Single provider reimbursement rule with four (4) exceptions (5 CCR sections 18076.2(c)(1&2) & 18076.3 (a & b))



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Limitations on Child Care Reimbursement (cont.)

Certified need is not provided for:

- Instructional minutes for school-age children, (5 CCR Section 18076.2(d)(1)), **or**
- Time child receives services at other facilities, (5 CCR Section 18076.2(d)(2))



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Example of Co-Payment Statement

The parent is responsible for paying the difference between the provider's rate plus other allowable charges that exceed the maximum subsidy amount (the amount determined by the child's age, parent's need for care and the type of facility selected). This difference is considered the "co-payment."

Note: ABZ is not responsible for collecting the co-payment.



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Provider Participation Policies

Contractors must develop and implement written policies and procedures for provider participation which includes, (5 CCR Section 18223):

- Maximizing parent choice and options
- Acceptance, rejection, and termination of provider affiliation with the program
- Grievance procedures for parents and providers in the program



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Provider Information

The Contractor must inform providers of the following in a language, written or with the aid of an interpreter, understandable to the provider:

- The rights of parents to choose and to change child care settings, (5 CCR Section 18222(4))

The Contractor must give to all providers the following policy information (5 CCR Section 18224):

- Non-discrimination policy prohibiting any form of discrimination
- Timeline for timely reimbursement to provider
- Instructions for enrollment and attendance record keeping



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Provider Information (cont.)

The Contractor must give to all providers the following policy information:

Child Care Certificate/Voucher, (45 CFR Section 98.30)

- Explanation of Contractor's process for issuing the certificate/voucher
- Authorization for the hours of care
- Amount of family benefit for provider reimbursement
- Identified rates



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Required Provider Documentation

Contractor must inform providers of and collect the following required documents needed to maintain a provider's file, (5 CCR sections 18230, 18231 et.al.):

Licensed:

- Rate sheet charged to unsubsidized families:
 - discounts, registration fees, transportation fees, and adjustments
- A copy of the facility license
- A copy of the provider's written policies on:
 - days of absences, holidays, vacation, and provider days of closure

License-exempt:

- TrustLine application & acceptance - cleared
- TrustLine exempt

Required Provider Documents (cont.)



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In-Home License-Exempt:

- Description of qualification and assurance the provider is in good health
- A signed statement from the parent verifying that the parent approves
- A California's drivers license or other recognized form of identification verifying the provider is 18 years or older
- Authorization requiring parent to ensure that the in-home provider receives state minimum wage

Physical Address and phone number:

- Requirement to notify Contractor of changes to either

Rate Change Requirements:

- Contractor will accept one rate change per year



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Provider Collection of Family Fee

When the Contractor requires providers to collect the family fee, the Contractor must inform the provider of the following, (5 CCR, sections 18113 & 18228):

- The requirements for collecting the family fee and how to report the receipt of payment.
- The collected family fee is part of the provider's reimbursement. The fee is deducted from the provider's reimbursement.
- The policy on how to report when the parent has neglected to pay the family fee.



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Provider Grievances

Contractor must inform providers of the procedure to file a grievance with the Contractor, (5 CCR Section 18223):

- What is a grievance
- How to file the grievance, contact person
- The form to file and steps in the process
- Process used by Contractor to determine outcome of the grievance review



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WRITTEN PARENT INFORMATION RECEIPT - Optional

Acknowledgement of receipt of the Written Policies (Parent Handbook), etc.

- Protect your liability by having parents sign a receipt that goes in the family data file
- The original stays in the file; the parent receives a copy



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Resources:

U.S Department of Justice, Americans with Disabilities Act:

<http://www.ada.gov/chcinfo.pdf>

California Code of Regulations:

<https://govt.westlaw.com/calregs/Index?transitionType=Default&contextData>

EESD consultant contact information link:

<http://www.cde.ca.gov/sp/cd/ci/assignments.asp>

Fiscal Services web-site:

<http://www.cde.ca.gov/fg/aa/cd/index.asp>

Funding Terms & Conditions for CAPP, C2AP & C3AP:

<http://www.cde.ca.gov/fg/aa/cd/ftc2016.asp>

Management Bulletins:

<http://www.cde.ca.gov/sp/cd/ci/allmbs.asp>

Parent Appeal Information:

<http://www.cde.ca.gov/sp/cd/ci/parentappealinformation.asp>

Reimbursement Ceilings for Subsidized Child Care:

<http://www3.cde.ca.gov/rcscc/>



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Questions???

