



Early Education and Support Division

Written Information for Parents and
Providers:

CAPP, C2AP and C3AP

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CALIFORNIA DEPARTMENT OF EDUCATION
Tom Torlakson, State Superintendent of Public Instruction



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Parent & Provider Written Information Content

- General Requirements for Program Policies and Procedures
- Information for Parents
 - Program Qualifications & Certification
 - Maintaining Eligibility, Updating Information, Re-certification, and Termination of Services
- Information for Parents and Providers
- Information for 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 and parents upon enrollment Title 5 *California Code of Regulations*, (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
 - Informed parental choice for High Quality local program, include Title 5 and Head Start programs, (45 *Code of Federal Regulations (CFR)* , Section 98.30)





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General Requirements

Program Policies and Procedures (cont.)

- Family eligibility requirements, priorities, enrollment procedures
- Conditions for participation in subsidized child care
- Notice of Action Parental Right to Appeal
- Grievance procedures
- Provider participation and reimbursement requirements
- The information to parents shall be written in terms that are understandable and reflects the cultural and linguistic characteristics of families served by the contractor





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General Requirements

Program Policies and Procedures cont.

- The information to parents shall be provided through written material, or through an interpreter in language the parent understands, (5 *CCR* Section 18222)
- Provider information shall be written or presented by an interpreter in a language understood by the provider, (5 *CCR* sections 18223 and 18224)





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Written Information for the Parent General Purpose

- Provide written information that the parent needs to make informed choices regarding their child care and participation in the program
- Provide the information the Contractor requires to qualify the parent, deny service, or update the parent's certification and services
- Provide parents the information they need to successfully maintain their services





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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
[http:// www.ada.gov/chcinfo.pdf](http://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 and how to select quality care
- Types of child care services available, including CSPP and/or Head Start
- Explanation of the voucher program
- Certificate/voucher for child care, (45 *CFR* Section 98)
- Parental co-payment
- TrustLine
- 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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Parent Information: Program Content (cont.)

Types of Services Offered

- CalWORKS Stages 2 and 3
- Alternative Payment Program

Types of Child Care Available

- Early Head Start and Head Start Programs, Partnerships and Title 5 Early Education and Care Programs
 - CCTR General Child Care
 - CFCC Family Child Care Homes
 - CHAN Severely Handicapped
 - CMIG Migrant
 - CSPP California State Preschool





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Example of Types of Services Statement

ABZ is an Alternative Payment (AP) 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 Statement

The certificate is issued to the parent and must be used to obtain child care services for their children. The value of the certificate is the maximum allowed for the type of care, the age of the child, and the parents' certified need for care based on the regional market rate.

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 the days and hours needed for care, within five calendar days of a change.





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Example of Parent Co-payment Statement

You may choose a provider regardless of the provider's rate. However, when the provider's rate and other allowable charges exceed the maximum subsidy amount (the amount determined by your child's age, your need for care, and the type of facility selected), the parent is responsible for paying the difference. This difference is considered the parent co-payment.

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 14-03
- Completion of Application for Service with staff
- Notice of Action Process
- Parent Right to Appeal steps





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Examples of Documentation for Eligibility

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

- Eligibility, i.e. countable income, incapacitation, CPS, etc.
- Family size, i.e. birth record for each child counted in the family size
- Presence or absence of the parent(s)
- 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:

- Countable Income
- Current cash aid recipient
- Homelessness
- Child Protective Services
- At risk of abuse, neglect, and/or exploitation
- Child eligibility and family eligibility for CalWORKS

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





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Examples of Total Countable Income Statements

Total countable income means all income of the individuals counted in the family size, for example, (5 CCR Section 18078(a)(1-14) (s)(1-20)):

- Gross wages or salaries, commissions, tips, overtime, bonuses, gambling, lottery winnings
- Public cash assistance
- Disability or unemployment, or workers compensation
- Child support payment received
- Portion of student grants or scholarships **not** identified for educational purposes as tuition, books, or supplies

Note: add as necessary using list of non-countable and countable income (5 CCR Section 18078(a)(1-14) and(s)(1-20))



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Examples of Family Size Documentation Statements

- Birth Record for each child counted in family size
- When only one parent signs the application and the birth record indicates the child in the family has another parent whose name does not appear on the application, the presence or absence of that parent must be documented

Documentation of the presence or absence of the other parent shall be supported by any **one** of the following:

- Records of marriage, divorce, domestic partnership or legal separation
- Court-ordered child custody arrangement
- Evidence that the parent signing the application receives child support payments





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Examples of Family Size Documentation Statements cont.

- Rental receipts or agreement contracts, utility bills or other documents for the residence of the family indicating that the parent is the responsible party
- Any other documentation, *excluding a self-declaration* to confirm the presence or absence of the parent of the child in the family
- If due to *recent departure* of a parent from the family, the remaining applicant parent may submit a self-declaration under penalty of perjury explaining the absence of that parent from the family
- Within six months of applying or reporting the change in family size, the parent must provide one of the above (previous slide) supporting documentation





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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 & 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)
- CalWORKs Stage 2 Criteria, (5 CCR Section 18406)
- CalWORKs Stage 3 Criteria, (5 CCR Section 18421)



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Examples of Family Fee Statements

Fee assessment is based on Certified Need, Income, and Family Size, MB 14-03, (5 CCR sections 18108–18116).

Fees are only assessed at certification, recertification or at update.

No adjustment is made 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.

Parent notification of family fee due by certain date.

Family fee is paid in advance of service.

Fees are delinquent seven (7) calendar days after due date. Services shall be terminated within two weeks unless paid within the two weeks. 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

The NOA is issued:

- At initial certification to approve or deny
- At recertification or update to need, eligibility, family fee, or when family fee payment is delinquent

The NOA must provide the details for parental right to appeal the actions being taken

- Instructions and timeline for the appeal process at the local and CDE level

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

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

General Policies

- Attendance/utilization policy per MB 14-04
- Limited term service leave, if offered
- Parent's right to change child care settings and providers
- 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 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.)

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.)

Causes for termination include:

- Failure to meet eligibility 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
- State/Federal funding ends,

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





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Parent and Provider Attendance-Utilization Policy

Contractor defines, **“Broadly consistent with the certified hours of need,”** and is responsible for ensuring use of child care is consistent with the child care certificate. MB 14-04

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

Providers must submit a Monthly Attendance Record or Invoice containing the following:

- name of the child receiving services;
- specific date services were provided;
- actual times the child entered and 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.





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Parent and Provider Attendance- Utilization Policy (cont.)

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

- Requirements for Monthly Attendance Record or invoice, including daily record of times in/out of care
- Submittal of attendance records or invoices, including 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

In an effort to insure the full use of the certified child care schedule, the following policy applies to attendance utilization and non-use of the certified child care:

- When a parent has a day of non-utilization, i.e. 'absent' for a certified day of child care, the parent must write in absent
- The parent may be called to discuss excess usage or patterns of absences





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

- Fill in the date and actual time of arrival and departure, in accordance with the Contractor's policy
- Provider and parent will complete attendance record as specified and both must sign the at the end of the month stating the information is accurate





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





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Limitations on Child Care Reimbursement

Must cover:

- Regional Market Rate Ceiling, (5 CCR Section 18074.1(c))
<http://www.cde.ca.gov/sp/cd/ci/mb1507.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))

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 and 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 family 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 parental choice
- 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 provider is not considered an employee of the Contractor
- The rights of parents to choose and to change child care settings, (5CCR 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
- Schedule for timely payment 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, (45 *CFR* Section 98.30)

- Explanation of Contractor's process for issuing the certificate
- 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





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Required Provider Documents (cont.)

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

Rate Change Requirements:

- Contractor will accept one rate change per year

Physical Address and phone number:

- Requirement to notify Contractor of changes to either





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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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Attachments to Parent Written Policies

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

- Protect your liability by having parents sign a receipt that goes in the data file
- The original stays in the file, and 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/ftc2014.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/rcsc/>