

Alaska Child Care Grant Program

Policies and Procedures Manual

**State of Alaska
Department of Health and Social Services
Division of Public Assistance
Child Care Program Office**

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CHILD CARE GRANT POLICY AND PROCEDURE MANUAL

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CHILD CARE GRANT PROGRAM GENERAL INFORMATION

This chapter provides a general overview of the Child Care Grant (CCG) Program. It also sets forth certain procedural requirements that staff must follow when they determine eligibility for the CCG Program. The CCG Program is authorized under Alaska Statute (AS) 47.25.071 and the Alaska Administrative Code (AAC) 7 AAC 39.

2000-1

HISTORY AND PURPOSE

2000-1 A.

PROGRAM HISTORY

On July 1, 1981, Alaskan Governor Jay Hammond signed into effect the Child Care Grant House Bill. The oversight and administration of the Child Care Grant Program (CCG) at that time was within the Department of Community and Regional Affairs. This state funded program provided grants to assist licensed child care providers in Alaska with operational costs associated with their facilities.

In State Fiscal Year (FY) 2000, the Child Care Program Office (CCPO) moved to the Department of Education and Early Development and began to oversee the CCG. The CCPO is the State of Alaska lead agency for the Child Care and Development Fund (CCDF) under the Federal Administration for Children and Families, Office of Child Care. The CCDF provides funding for child care subsidies and funds intended to improve child care quality.

In FY 2004, the CCPO moved to the Department of Health and Social Services, Division of Public Assistance where it resides today. In addition to the CCG, the CCPO oversees and manages the following for the State of Alaska: Child Care Assistance Program (CCAP), which provides assistance with child care expenses on a sliding fee scale basis to eligible families; Child Care Licensing, which monitors, regulates and licenses child care facilities statewide; Alaska Inclusive Child Care Program (Alaska IN!), a collaborative effort focused on increasing the quality and availability of inclusive child care programs for children with special needs who are participating in the CCAP; and Alaska's Statewide Child Care Resource and Referral Network (CCR&R) through a grant which provides consumer education and training to families and providers regarding quality early care and education.

2000-1 B. PROGRAM PURPOSE

The purpose of the CCG is to promote quality child care by assisting licensed child care providers who care for children of families participating in the State of Alaska CCAP, with operational costs associated with their facilities. The CCG promotes quality child care by supporting and encouraging professional development, the retention of early childhood care and education professionals, and safe and healthy environments for children in care.

Monthly reimbursement amounts are based on children's attendance and the *Child Care Grant Rate Schedule*, see Addendum 1. The categories of allowable CCG expenditures for reimbursement related to costs associated with maintaining the operation of their facility are: staff salaries and benefits; providing for substitute care; health and safety; equipment, supplies and activities for children in care; and child development education and training.

The CCG is not an entitlement program. Reimbursements are issued monthly to eligible child care facilities, as long as funding is available.

2000-2 ELIGIBILITY CRITERIA FOR PARTICIPATION

This section references Alaska Statute (AS) 47.25.071(b) and (g) and Alaska Administrative Code (AAC) 7 AAC 39.025. To be eligible to participate in the Child Care Grant Program (CCG) a child care facility must be currently:

1. Licensed as a child care facility by the State of Alaska, Department of Health and Social Services (DHSS) as a Child Care Home, Group Home or Center; or
2. Licensed as a child care facility by the Municipality of Anchorage, Department of Health and Human Services (DHHS) as a Child Care Home or Center; and
3. Approved for participation in the Child Care Assistance Program (CCAP).

To maintain participation in the CCG a child care facility must maintain at least the minimum participation requirement for children in care, of five percent (5%) or one child whichever is greater, who have been issued a *Child Care Authorization* document through the State of Alaska CCAP, within any six (6) month period. Authorizations

issued by the Office of Children’s Services (OCS) for children in protective services or foster care are also included.

2000-3 CHILD CARE GRANT PROGRAM RATE SCHEDULE

This section references Alaska Statute (AS) 47.25.071(c) and AS 14.17.460.

The Child Care Grant Program (CCG) monthly reimbursement amount (rate) is adjusted annually based on geographic location and by the same District Cost Factor as funding for Alaskan school districts. The rate may not exceed fifty dollars (\$50) per month per child.

The Child Care Program Office (CCPO) will update the *Child Care Grant Rate Schedule*, see Addendum 1 as needed and make it available to participating licensed child care facilities.

2000-4 WORK PROCESSES WITH TIMELINE GOALS FOR COMPLETION

The timeframes identified throughout this policy are the Child Care Program Office (CCPO)’s internal timeline goals for completion and will be met whenever possible. We reserve the right to extend these timelines in specific cases or make adjustments as deemed necessary.

2000-4 A. APPLICATION TIMELINE

Task	Staff	Timeline Goal for Completion
Provide information	CCPO Staff	Ongoing
Mail application	Administrative or Eligibility Staff	Within 1 business day of request
Receive and forward application to Eligibility Staff	Administrative Staff	Within 1 business day of receipt
Review application for completeness or identify discrepancies to be resolved by licensing	Eligibility Staff	Within 1 business day of receipt from Administrative Staff
Resolve Discrepancies	Licensing Staff	Within 2 business days of notification from Eligibility Staff
Approve/Pend/Deny application	Eligibility Staff	Within 5 business days of receipt of application or resolution of Discrepancies

2000-4 B. MONTHLY SUBMISSIONS TIMELINE

Task	Staff	Timeline Goal for Completion
Receive and forward reimbursement and attendance forms	Administrative Staff	Within 1 business day of date stamped received
Take action on requests for information	Eligibility Staff	Within 1 business day of notice due date
Verify any demographic changes reported by the facility	Licensing Staff	Within 2 business days of notification from Eligibility Staff
Research questionable forms received by CCPO Staff	Eligibility Staff	Within 5 business days of receipt or verification of demographic information from Licensing

2000-4 C. MONTHLY PAYMENTS TIMELINE

Task	Staff	Timeline Goal for Completion
Take action to deny payment	Accounting Staff	Within 5 business days of the notice due date requesting Information
Receive and resolve/return reimbursement forms identified incomplete or for clarification needed	Accounting Staff	Within 2 business days of receipt
Input into CCG Payment Tracking Spreadsheet.	Accounting Staff	Within 10 business days of Receipt
Key payment into IRIS	Accounting Staff	Within 10 business days of receipt
Certify *IRIS payments	Accounting Staff/Lead/Supervisor	Within 2 business days of receipt from Accounting Staff
Issue warrants	***DOA/DOF	Not applicable to CCPO
Maintain payment files	Accounting Staff	Ongoing
Saving for a future purchase or applying funds to a past purchase request	Accounting Staff	Within 1 business day of receipt of request

*Integrated Resource Information System

**Department of Administration/Division of Finance

2000-4 D. ADMINISTRATIVE ACTIONS TIMELINE

Task	Staff	Timeline Goal for Completion
Maintain administrative case file	Eligibility Staff	Ongoing
Conduct random reviews	Eligibility Staff	Monthly
Suspensions and Closures	Eligibility Staff	Ongoing
Good Cause Waivers	Eligibility Staff	Within 15 calendar days of receipt
Administrative Reviews	Public Assistance Analyst	Within 15 calendar days of receipt
Record Monitor and report issuance	Eligibility Staff	Within 30 calendar days of receipt
On-site Monitor	Licensing Staff	Within 30 calendar days of request
Incorrect Payments	Public Assistance Analyst	Within 30 calendar days of receipt

2010 CHILD CARE GRANT PROGRAM PARTICIPATION

This chapter references Alaska Administrative Code (AAC) 7 AAC 39.020.

This chapter details the Child Care Grant Program (CCG) application process and eligibility maintenance requirements.

2010-1 APPLICATION PROCESS

This section details the steps for Child Care Program Office (CCPO) Administrative, Eligibility and Licensing Staff involved with the processing of *Child Care Grant Program Application* CC30 from initial contact to a determination of approved or denied. This section references Alaska Administrative Code (AAC) 7 AAC 39.020.

The *Child Care Grant Program Application* CC30 form must be signed by the owner or the facility's Administrator, if different than the owner. If the application has a different owner or administrator than is listed in the Integrated Child Care Information System (ICCIS), the Eligibility staff will notify the Licensing Specialist assigned to the facility of the discrepancy.

If the business owner is a corporation, the individual signing the application must be the President or the Registered Agent according

to the provider's State of Alaska Business License **or** may be the facility's Administrator.

To determine if the individual signing the application is the corporation's President or Registered Agent, the CCPO Eligibility Staff will access the corporation's State of Alaska business license at: http://commerce.alaska.gov/occ/home_bus_licensing.html and:

1. Enter the business name and select search;
2. Select the correct business name from a list at the bottom of the screen which will take you to the License Details showing the business type as a corporation;
3. From the left-hand side under Search License Data select Corporations. Enter the business name in the "Entity name" and Search; and
4. Select entity # for the correct business from the list. This will take you to the Entity Details. The Registered Agent is listed as well as officials of the corporation.

When the facility owner listed in ICCIS is blank, or identified as a corporation or board, it may be necessary to contact the assigned Child Care Licensing Specialist to determine the correct individual with signing authority.

The owner or President or Registered Agent if a corporation, or facility Administrator may authorize another individual associated with the facility signatory authority for signing *Child Care Grant Reimbursement Request* (CC15), *Reimbursement Request for Staff Salaries and Benefits or Substitute Care* CC31, and/or other Child Care Grant Program (CCG) forms required for program participation.

When the facility Administrator is not the owner, and has signed the *Child Care Grant Program Application* CC30, they have authority to sign all forms associated with the CCG participation and may grant other individuals with signatory authority to sign forms such as, the *Child Care Grant Reimbursement Request* form CC15 and *Reimbursement Request for Staff Salaries and Benefits or Substitute Care* CC31.

A *Child Care Grant Program Application* CC30 with "Update" marked is required when a change in signatory authority is needed to either add or remove an authorized individual.

2010-1 A. APPLICATION PROCESS - ADMINISTRATIVE STAFF

Administrative Staff perform the following steps within one (1) business day:

1. Application Requested:

- a. Receive initial call, letter or email from a child care facility seeking to participate or a request forwarded from CCPO staff member;
- b. Print and mail the *Child Care Grant Program Application Cover letter* and *Child Care Grant Program Application CC30* which includes the *Child Care Grant Program Terms & Conditions Agreement* to the child care facility or provide the link to the application from the CCPO website, at the provider's preference;
- c. Search for the child care facility in ICCIS;
- d. Enter the child care facility's ICCIS facility identification number; Vendor Customer Number (VCN); ICCIS Facility Name; the date the *Child Care Grant Program Application CC30* was requested; and the date the *Child Care Grant Program Application CC30* was mailed into the App Request & Awaiting Approval tab of the appropriate fiscal year's CCG Program Tracking Spreadsheet.

The spreadsheet is saved by fiscal year (FY) as FYXX CCG Program Tracking.xls. The FYXX stands for the fiscal year, for example FY13; and

- e. Document the request and date the application was sent in an ICCIS case note using subject heading: CCG App Requested.

2. Application Received:

- a. Date stamp all documents received with the actual date they are received at the CCPO based on the method they were submitted.
 - If received via fax or email, the actual date received is to be used, even if it is a weekend or holiday;
 - If received via regular mail, the date the mail was received is used, not the post mark date;

- If received via the CCPO drop box after the close of business and retrieved the next business day, the date of the previous/most recent business day is used;
- b. Place the *Child Care Grant Program Application CC30*; and
 - c. Place in the designated Eligibility Staff's mailbox.

2010-1 B. APPLICATION PROCESS - ELIGIBILITY STAFF

To apply for participation in the CCG the owner or Administrator of an eligible licensed child care facility must submit a *Child Care Grant Program Application CC30*.

Within one (1) business day of receiving of the application, the Eligibility Staff will:

1. Enter the receipt of the application in an ICCIS case note using subject heading: CCG App Rcvd, and include in the body of the case note the date stamped received date and list all of the documents received;
2. Search for the child care facility in the Current Facilities tab of the CCG Program Tracking Spreadsheet.
 - a. If the child care facility information is found, in the Facilities tab, skip to step 4 below.
 - b. If the facility information is not found, in the Facilities tab, check the App Request & Awaiting Approval tab.
 - If found enter the applicable information.
 - If not found on the App Request & Awaiting Approval tab enter the child care facility's ICCIS facility identification number; VCN; ICCIS Facility Name; and the date the *Child Care Grant Program Application CC30* was received;
3. Create a CCG administrative case file using a blue file folder with the following label format:
 - First Line: Child Care Facility Name;
 - Second Line: VCN and ICCIS facility number;
4. Review the *Child Care Grant Program Application CC30* for signature by the facility's owner or Administrator and confirm the

owner on the application matches the facility's information in ICCIS.

- a. If information matches ICCIS see step 5.
 - b. If the owner in ICCIS is blank, has a corporation or board listed, or otherwise does not match the application, complete the following:
 - Contact the Child Care Licensing Specialist designated on the ICCIS Facility Application Screen by email or telephone and explain the discrepancy found. Provide the documentation with the discrepancy as needed;
 - Document in an ICCIS case note the identified discrepancy and actions taken using subject heading: CCG App ICCIS Discrepancy;
 - Once the Child Care Licensing Specialist confirms action has been taken and information now matches, see step 5.
 - If confirmation is not received from the Child Care Licensing Specialist within two (2) business days, the Eligibility Staff will advise their supervisor for their next action; or
 - If confirmation is received from the Child Care Licensing Specialist and does not match the application, it is denied. See Step 9 d.
5. Review and confirm that the information on the copy of any child care license received with the application matches the information in ICCIS. When an application is received without a copy of the facility's child care license, Eligibility Staff will review ICCIS License and Case Note screens within the Facility Module to confirm a license has been issued and is valid. Identify whether or not the provider is licensed for Child Care Assistance Program (CCAP) infants and/or toddler age ranges.
6. Review ICCIS Application screen within the Facility module to confirm the facility is in Open/Active status, approved for participation in the State of Alaska CCAP and the CCA box is checked. Case notes may need to be reviewed to determine the facility's actual CCAP approval timeframe has not expired.
7. Review ICCIS Application and Case Note screens within the Facility module for entries made by CCPO Accounting Staff to confirm the child care facility's VCN is issued and active. If an active VCN has not been issued or requested by the CCAP Designee as documented in an ICCIS case note, take the following steps:
 - a. Request from the CCAP Designee a completed *State of Alaska Substitute W9* form.

- b. Upon receipt of the *State of Alaska Substitute W9* form submit to the CCPO Accounting physical mailbox.
8. Document in an ICCIS case note the results of the review using subject heading: CCG Results of Eligibility Review. The body of the case note includes information regarding the status of the facility's License, CCAP participation, VCN, and individuals whom have been granted signatory authority.
 9. Within five (5) business days of receipt of the application or resolution of any discrepancies, determine the child care facility's eligibility for participation and take appropriate action on the application to: pend, approve, or deny. Document action taken in ICCIS case notes using the following subject heading as applicable: CCG App Pended, CCG App Approved – Effective MM/DD/YYYY, or CCG App Denied, and update the applicable portions of the CCG Program Tracking Spreadsheet.

a. Pend with Ten (10) Day Due Date:

Applications received from a facility are to be pended for ten (10) days, based on the Adverse Action Calendar, when they are not complete or are not signed by the facility owner or Administrator.

Eligibility Staff will issue the *Child Care Grant Program Application– Pended* notice to the facility identifying the information needed to complete the application and the ten (10) day due date from the Adverse Action calendar available at <http://dpaweb.hss.state.ak.us/main/PDF/adverseAction.pdf>

b. Pend with Thirty (30) Day Due Date:

Applications received from a facility are to be pended for thirty (30) days, based on the Adverse Action Calendar, when the facility's child care license, CCAP approval has not been issued, or there is a reported staff change in the Administrator not yet approved by the Licensing Specialist.

When ICCIS case notes reflect CCAP and Child Care Licensing applications have been submitted the Eligibility staff will issue a *Child Care Grant Program Application – Pended* notice to the facility identifying the information needed and the thirty (30) day due date from the Adverse Action Calendar.

c. Approve:

The child care facility's CCG effective date is the first (1st) of the month following all requirements being met. Check the CCG

box on the facility Application screen in ICCIS and update the CCG Program Tracking Spreadsheet. Issue the *Child Care Grant Program Application – Approved* notice to include the following information and enclosures:

- ICCIS facility identification number;
- Effective date for CCG participation;
- Child care facility's CCG geographic rate; and
- *Child Care Grant Rate Schedule*.

The *Child Care Grant Reimbursement Request* CC15 Excel workbook is completed with the facility's information and emailed to the facility's email address.

A copy of the: *Child Care Grant Program Application – Approved* notice; case note indicating whether or not the provider is licensed for CCAP infant and/or toddler age ranges; and the application, if signatory authority has been authorized, is placed in the Accounting physical mailbox for updating the CCG Payment Tracking Spreadsheet.

d. Deny:

Child Care Grant Program Application CC30 forms received from a child care facility who has not applied for licensure and/or CCAP participation will be denied. When a facility has not submitted the required information by the due date identified in a *Child Care Grant Program Application – Pended* notice the *Child Care Grant Program Application* CC30 will be denied.

Requests from providers to withdraw a *new Child Care Grant Program Application* CC30 form will be granted by denial of the application by Eligibility Staff. If the application was submitted by a participating provider as an update and the provider requests to withdraw the application, see section 2010-2 C. *Changes Reported*.

Eligibility Staff will issue the *Child Care Grant Program Application – Denied* notice identifying the specific reason(s) for the denial. The child care facility may reapply once they meet all the requirements.

10. Maintain the application, supporting documentation, and any notices issued in the CCG administrative case file.

2010-1 C. APPLICATION PROCESS – ACCOUNTING STAFF

When a copy of the *Child Care Grant Program Application – Approved* notice and application is received, Accounting Staff will:
Open the CCG Payment Tracking Spreadsheet and search for the facility's ICCIS number to ensure the program is not already on the spreadsheet.

The spreadsheet is saved by fiscal year (FY) as FYXX CCG Payment Tracking Spreadsheet.xls. The FYXX stands for the fiscal year, for example FY16;

1. Add the child care facility as a new entry within the spreadsheet numerically based on their VCN and complete the columns A – I with the facility's CCG approval date; VCN; ICCIS facility identification number; license effective date if licensed for infants and/or toddlers; yes or no if the provider is licensed for infants and or toddlers; Provider Type; Facility Name; and Authorized Signatories;
2. Enter in column J the month the child care facility is approved to begin participation, and the next consecutive months until the end of the fiscal year. June should be the last month entered, as July will be on the next fiscal year spreadsheet; and
3. Enter the Geographic Region in column Q and the Geographic Rate in column S, applicable to the child care facility.

2010-1 D. APPLICATION PROCESS - LICENSING STAFF

When Child Care Licensing Staff is contacted regarding a discrepancy found by the Eligibility Staff's comparison of the *Child Care Grant Program Application* CC30 and the facility's information in ICCIS, the following steps will be taken:

1. Review the information documented in an ICCIS case note by Eligibility Staff on discrepancy information listed on the *Child Care Grant Program Application* CC30.
2. Request a copy of the *Child Care Grant Program Application* CC30 from Eligibility Staff if necessary to review the discrepancy.
3. Call the child care provider and verify the facility's correct information.

4. Update ICCIS as applicable with the correct facility information and document in a case note the actions taken using subject heading: CCG App ICCIS Discrepancy Corrected.
5. Call or email the Eligibility Staff within two (2) business days of contact to confirm the information has been verified with the child care facility and ICCIS reflects the correct information.
6. If changes have been made with the child care facility's ICCIS information the Child Care Licensing Specialist will email the updated information using subject heading: CCG ICCIS Discrepancy Corrected, to the Regional CCAP Designee and the CCPO Eligibility Staff via the policy mailbox: dpaccp@alaska.gov.

Note: If a copy of the *Child Care Grant Program Application CC30* is provided to resolve discrepancies in ICCIS, the Child Care Licensing Specialist does not need to maintain the application or any supporting documentation in the Licensing file.

2010-2 ELIGIBILITY MAINTENANCE

This section references Alaska Administrative Code (AAC) 7 AAC 39.025.

2010-2 A. CRITERIA TO MAINTAIN ELIGIBILITY

To maintain eligibility, a child care facility approved to participate in the Child Care Grant Program (CCG) must meet the following criteria:

1. Maintain a current child care license issued by the State of Alaska Department of Health and Social Services (DHSS) or by the Municipality of Anchorage, Department of Health and Human Services (DHHS);
2. Maintain current approval status for participation in the State of Alaska Child Care Assistance Program (CCAP);
3. Maintain at least the minimum participation requirement for children in care, of five percent (5%) or one (1) child whichever is greater, who have been issued a *Child Care Authorization* document through the State of Alaska CCAP, within any six (6) month period. Authorizations issued by the Office of Children's Services (OCS) for children in protective services or foster care are

also included; and

4. Use CCG funds solely for costs associated with maintaining the operation of their child care facility. See section 2040-1, Allowable Expenditure Categories.

When the facility owner or Administrator reports an update or change on a *Child Care Grant Program Application* CC30 in staff members whom they have granted signatory authority, the Eligibility Staff is to update the CCG Program Tracking Spreadsheet, the information is documented by Eligibility Staff in an Integrated Child Care Information System (ICIS) case note using subject heading: CCG Signatory Authority Change. A print out of the case note is placed in the Accounting physical mailbox by Eligibility Staff for updating the CCG Payment Tracking Spreadsheet and a printout is placed in the facility's CCG administrative case file.

2010-2 B. ELIGIBILITY NOT MAINTAINED

Eligibility Staff will end a child care facility's participation in the CCG, update the CCG Program Tracking Spreadsheet and issue a *Child Care Grant Program – Closed* notice identifying the reason for ending participation; their right to request an Administrative Review; and their right to re-apply when the child care facility has not:

1. Maintained a current child care license issued by the State of Alaska DHSS or by the Municipality of Anchorage, DHHS;
2. Maintained current approval status for participation in the State of Alaska CCAP; or
3. Met the minimum participation requirement for children in care who have been issued a *Child Care Authorization* document through the State of Alaska CCAP within any six (6) month period.

A copy of the *Child Care Grant Program – Closed* notice is placed in the Accounting physical mailbox for updating the CCG Payment Tracking Spreadsheet.

2010-2 C. CHANGES REPORTED

1. When a child care facility participating in the CCG notifies any Child Care Program Office (CCPO) Staff of changes affecting the

information in ICCIS the CCPO staff receiving the change will case note receipt of the change using subject heading: CCG Change Reported, document the information received in the body of the note and forward the information to the assigned Child Care Licensing Specialist and Licensing Supervisor for any necessary action. When the change is reported to the Administrative Staff or the Accounting Staff, they will document the change and forward the information to both Licensing and Eligibility Staff.

2. When Child Care Licensing Staff is contacted due to conflicting information regarding a child care facility in ICCIS found as a result of a CCG submission review or a report of change, the following steps will be taken:
 - a. Review the information documented in an ICCIS case note by Eligibility or Accounting Staff on discrepancy information;
 - b. Request a copy of the document(s) from Eligibility or Accounting Staff if necessary, to review the discrepancy information;
 - c. Call the child care facility and verify facility's correct information;
 - d. Update ICCIS as applicable with the correct facility information and document in a case note using subject heading: CCG App ICCIS Discrepancy Corrected;
 - e. Call or email the Eligibility Staff or Accounting Staff within two (2) business days of contact to confirm the information has been verified with the child care facility and ICCIS reflects the correct information; and
 - f. If changes have been made with the child care facility's ICCIS information the Child Care Licensing Specialist will email the updated information and supporting documentation, if needed specific to the change reported, to the Regional CCAP Designee and the CCPO via the policy mail box: dpaccp@alaska.gov, using subject heading: CCG App ICCIS Discrepancy Corrected.

Note: Any hard copy documentation provided by the Eligibility or Accounting Staff to the Licensing Staff identifying discrepancies do not need to be maintained in the Licensing file once correct information is verified and documented in an ICCIS case note.

3. When a child care facility changes their business type from sole

proprietor to a Limited Liability Corporation (LLC) or partnership, or there is another administrative type change requiring a new facility to be established in ICCIS, the Child Care Licensing Specialist will notify the CCAP Designee and the CCG Eligibility Staff as the facility will need to re-apply for both CCAP and CCG participation.

The Eligibility Staff will contact the facility advising them of the need to reapply for participation in CCG for the new facility. The facility is sent a new *Child Care Grant Program Application* CC30 and the contact is documented in an ICCIS case note using subject heading: CCG Contact made. Eligibility Staff document the actions taken in the body of the case note.

4. Changes in signatory authority must be made in writing and signed by the facility owner or Administrator. When a change of signatory authority is made by someone other than the owner or Administrator, or the facility's Administrator is changing, the Eligibility Staff will send a *Child Care Grant Program - Information Needed* notice requesting the facility's owner or Administrator to complete an "Updated" *Child Care Grant Program Application* CC30. The change in Administrator will not be accepted until it is approved by the Licensing Specialist and the individual identified as the Administrator in the Staff/HH screen in ICCIS.

When a change in signatory authority is received, to include receipt of verification of Power of Attorney in which an individual has been granted legal authority to act on behalf of a provider or individual with signatory authority, Eligibility staff will update the CCG Program Tracking Spreadsheet and enter a case note in ICCIS documenting the change, using subject heading: CCG Signatory Authority Change. A printout of the case note is placed in the Accounting physical mailbox. The Accounting Unit will update the signatory authority information in the CCG Payment Tracking Spreadsheet for the Accounting Unit to use when paying the Reimbursement Request. The Accounting Unit will enter a case note documenting the update to the CCG Payment Tracking Spreadsheet.

5. When a child care facility reports a change which requires a new Child Care License to be issued but does not require a new facility to be created in ICCIS, such as: their administrator; physical location; mailing address; facility type; and/or facility name, the facility does not need to reapply for participation in the CCAP or CCG as long as there is no break in the facility's licensed dates.

The Child Care Licensing Specialist will document why the new license is being issued and whether or not there is a break in licensure in an ICCIS case note. A license ending on a Friday and a new license beginning on the following Monday does not indicate a break in licensure as long as the facility's published schedule reflects, they are closed Saturday and Sunday.

a. Age Range Change

If the newly issued license changes the age range of children the facility is licensed for, the Child Care Licensing Specialist will email the CCAP Designee and the CCPO Eligibility Staff as it may impact the families currently authorized to the facility and future authorizations as well as payment coding for CCG. Eligibility staff will update the CCG Program Tracking Spreadsheet, enter an ICCIS case note documenting the change, and forward a copy of the case note to Accounting Staff who will update the CCG Payment Tracking Spreadsheet.

b. CC Grant Status Change Report

The Research and Analysis Unit provides a monthly report documenting new providers participating in the Child Care Grant Program, providers whose CCG has ended, and providers who have had a license issued indicating a change in the age range of children they are licensed for.

The Eligibility Staff will access the CC Grant Status Change Report monthly and take action based on the change documented.

6. When a child care provider reports a change by submitting a Child Care Grant Program Application CC30 form for an update, but there are no changes to be made, the Eligibility Staff will send the provider a *Child Care Grant Program Application Notice of Change* to inform the provider there are no changes to be made at this time. Eligibility staff will enter an ICCIS case note using the subject heading: CCG Update/No chgs to be Made and document the actions taken in the body of the case note.

2020

CHILD CARE GRANT PROGRAM SUBMISSIONS

This chapter references Alaska Administrative Code (AAC) 7 AAC 39.030 and 7 AAC 39.035.

This chapter details the steps Child Care Program Office (CCPO) Staff will take in the receipt and review of *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 form submissions.

Child Care Grant Reimbursement Request CC15 and *Attendance Report* CC14 forms must be postmarked or received by the last day of the month immediately following the report month and may be faxed, emailed, sent by regular mail, or provided in person to the CCPO. These forms are considered the current report month submissions.

Submissions received during the same month as the report month will be denied.

Once a submission has been processed for payment for a report month, any additional submissions for the same report month from the facility will be denied.

The owner or Administrator may choose to delegate signatory authority to another individual within their organization to sign the monthly submissions. The owner remains responsible for compliance with program rules and requirements even when information is submitted by an individual with signatory authority.

2020-1

SUBMISSIONS – ADMINISTRATIVE STAFF

Administrative Staff receive all *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms submitted to Child Care Program Office (CCPO) and forward them to the CCPO Accounting Staff for processing.

Within one (1) business day of receiving the submission, the CCPO Administrative Staff will:

1. Date stamp each *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 form along with paperwork supporting the submission.
 - a. Email Submissions
Items received after the close of business via email and retrieved the following business day are to be printed and date stamped according to the received date/timeframe indicated on the email. Submissions received via the Child Care Program Office (CCPO) general email are to be saved into the CCG folder within the email box, by the state fiscal year, and retained for ten (10) years after which time they are deleted;

b. Fax Submissions

Items received via fax and retrieved the following business day are to be date stamped according to the date/timeframe indicated on the fax;

c. Drop Box Submissions

Items received after the close of business via the drop box and retrieved the next business day are to be date stamped with the date of the previous/most recent business day.

When the last day of the month falls on a Saturday or Sunday, Administrative Staff are to separate submissions retrieved from the drop box by the report month. When the submission is for the month which just ended, it is date stamped as received with Friday's date or the most recent business day. When the submission is for the new month, it is date stamped with the date it is retrieved from the drop box. These submissions are considered to have been received timely.

Regular Mail submissions

Items received via regular mail are stapled to the envelope, and date stamped with the date received by the CCPO not the post mark date. If mailed submissions are received by the CCPO after the deadline of the last day of the month following the report month, the post mark date is used by Accounting and/or Eligibility Staff to determine if the submission is timely;

2. Information received other than receipts, the *Child Care Grant Reimbursement for Staff Salaries and Benefits or Substitute Care* CC31 form, *Child Care Grant Reimbursement Request* CC15, or the *Attendance Report* CC14 forms is forwarded to the appropriate CCPO staff;
3. Flag any submission received for a report month other than the current report month; and
4. Place face down in the CCG basket.

2020-2

SUBMISSIONS – ACCOUNTING STAFF

Accounting Staff retrieve all *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms and review for accuracy and completeness for payment processing. See section 2030, Child Care Grant Payment Processing-Accounting Staff.

If the submission is received during the same month as the report month it cannot be processed for payment. Accounting Staff will issue a *Child Care Grant Program Payment – Denied* notice, and document issuance in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG Grant Payment Denied. The body of the case note includes the reason payment was denied. The Child Care Grant Payment Tracking Spreadsheet is updated, and the notice is filed in the child care facility's billing file. The child care facility may resubmit the submission on or after the first day of the month following the report month.

Based on a rotating schedule Accounting Staff will pull submissions throughout the day, review receipts and make any necessary corrections through their review and/or contact with the facility. When correcting a submission, Accounting Staff line through the incorrect information, including mathematical errors, write in the correct information, and initial and date the change. Contact with the facility, if needed, is documented in an ICCIS casenote using subject heading: MM/YYYY CCG Clarifying Info Rec'd. The body of the case note describes the clarification or correction.

When a submission with incorrect or missing information is received, and clarification is needed for the submission to be processed for payment, Accounting Staff will contact the provider to obtain the needed information. When Accounting Staff is able to speak with the provider, the correct or missing information is written on the submission and initialed and dated. Contact with the provider is clearly documented in an ICCIS case note using the subject heading: MM/YYYY CCG Submission Clarifying Info Rec'd.

When Accounting Staff was unable to reach the facility to obtain the needed information, a detailed message is left asking for a return call. The attempted contact is documented in an ICCIS case note using subject heading: MM/YYYY CCG Attempted Contact. The body of the case note includes the date the telephone contact was attempted requesting a return call, the information or correction needed.

If the provider does not return the call by the close of the following business day, the submission is returned unpaid. Accounting Staff will issue a *Child Care Grant Program Reimbursement Request – Returned* notice. The child care facility may resubmit the submission on or before the due date identified in the notice which is the last day of the month following the month the notice was issued. The issuance of the notice is documented in an ICCIS case note using the subject heading: MM/YYYY CCG Reimbursement Request Returned. The body of the

case note includes the date the notice was issued and mailed and the reason for it being returned. See 2020-2 C. Submission Returned Unpaid.

2020-2 A. GENERAL REVIEW OF SUBMISSIONS

The Excel workbook and the Manual *Attendance Report* CC14 have slightly different attendance coding. When using the manual form there is no need to capture attendance for days a child was in care more than ten (10) hours or days the child did not attend during the Child Care Assistance Program (CCAP)'s required ten (10) business day timeframe.

Accounting staff will review the *Attendance Report* CC14, *Child Care Grant Reimbursement Request* CC15, *Child Care Grant Reimbursement for Staff Salaries and Benefits or Substitute Care* CC31; and receipts for purchases, as applicable, for each submission.

Accounting Staff will access ICCIS, as needed, to confirm and/or correct information on the submission. The submission may be corrected when missing or incorrect information is obtained through review of ICCIS, the CCG Payment Tracking Spreadsheet or CCG Program Tracking Spreadsheet. The incorrect information is lined through, the correct information is written in, and the entry is initialed and dated by the Staff member making the correction.

When correct or missing information cannot be obtained through Child Care Program Office (CCPO) Staff review or by contacting the child care facility, the incorrect or missing information is circled, and the submission is returned to the facility. See section 2020-2 C. Submission Returned Unpaid.

Accounting Staff will confirm the *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms are all date stamped and submissions for a report month other than the current report month are flagged and allowable for payment.

Submissions for a report month other than the current report month will be separated out and Accounting Staff will match the submission with the *Child Care Grant Program Reimbursement Request – Returned* to ensure they are timely re-submissions.

Submissions for a report month other than the current report month are denied unless they were previously returned for correction. See section 2020-2 D. Resubmissions.

Accounting Staff will review all *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms for accuracy and completeness.

1. Review *Attendance Report* CC14 form for:

- a. Report Month/Year;
- b. Report Month matches the report month on the *Child Care Grant Reimbursement Request* CC15 form;
- c. There is a first and last name for each child listed; and
- d. Attendance documented is for the correct number of days in the report month. When a submission includes children's attendance beyond the specific days of the report month, the information is circled and the *Child Care Grant Reimbursement Request* CC15 form is recalculated based on the correct numbers of days in the report month; and
- e. Attendance is documented for each child listed. When a child's name is listed without any attendance documented on the *Attendance Report* CC14 form line through the child's name, initial and date. The *Child Care Grant Reimbursement Request* CC15 form will be recalculated as needed.

2. *Child Care Grant Reimbursement Request* CC15 form Review for:

- a. Report Month/Year;
- b. ICCIS Number matches the ICCIS record. If determined incorrect after researching ICCIS, the incorrect ICCIS Number is crossed out and the correct number is written above, initialed and dated;
- c. Vendor Customer Number (VCN) matches the ICCIS records. If determined incorrect after researching ICCIS, the incorrect VCN is crossed out and the correct number is written above, initialed and dated;
- d. Facility Name matches the ICCIS record. If the facility name does not match, a review of ICCIS case notes must occur to determine if there is an umbrella organization doing business as or other documentation about the conflict. This ICCIS case note must be attached to each CCG monthly submission to allow payment to be certified;

- e. Physical Location of Facility and City matches the ICCIS record. If no physical location is entered, Accounting Staff are to enter the information from ICCIS, initial and date the change. If the information does not match ICCIS the submission is forwarded to the Eligibility Staff to obtain clarification and update as necessary;
- f. Mailing Address, City, and Zip Code matches the ICCIS record; If no mailing address is entered, enter the information from ICCIS, initial and date the change. If the information does not match ICCIS the submission is forwarded to the Eligibility Staff to obtain clarification and update as necessary;
- g. Change of facility information marked YES, forward to the Eligibility Staff to review and coordinate with the Licensing Specialist, as needed, see section 2010-2 C. Changes Reported;
- h. Line 1: The Full Time Equivalent (FTE) documented in line 1 matches the FTE Totals of ALL *Attendance Report* CC14 form(s) by adding together the FTE Page Totals in the box at the bottom right corner of all pages of the *Attendance Report* CC14;
- i. Line 3: Ensure the geographic rate entered matches the rate for the facility's community from the *Child Care Grant Program Rate Schedule*;
- j. Line 6: The number of children documented with Child Care Assistance Program (CCAP) authorizations matches the associated *Attendance Report* CC14 form(s) by counting all children listed with an Auth Type of C;
- k. Line 7: The number of children documented with Office of Children's Services (OCS) authorizations matches the associated *Attendance Report* CC14 form(s) by counting all children listed with an Auth Type of O;
- l. Line 8: The number of children documented without a CCAP or OCS authorization are noted as Self Pay/Other matches the associated *Attendance Report* CC14 form(s) by counting all children listed with an Auth Type of S;
- m. Line 9: The total numbers of children in care for this report month matches the number of children on the *Attendance Report* CC14 form(s) by adding together Lines 6 through 8 on the *Child Care Grant Reimbursement Report* CC15 and

comparing it to the number of children listed on all pages of the *Attendance Report* CC14 form(s);

- n. Ensure submissions marked for the expenditure category of staff salaries and benefits or substitute care have the *Child Care Grant Reimbursement for Staff Salaries and Benefits or Substitute Care* CC31 form attached and signed by an individual with signatory authority. See q below;
- o. For all submissions for expenditures other than staff salaries and benefits or substitute care, ensure receipts are attached, are for allowable items and match the expenditure category and amount. When included on the receipt, applicable sales taxes and shipping costs are to be included in the reimbursement. Submissions with a quote, invoice, purchase order, or other similar documentation for an item are not acceptable for payment reimbursement unless the document also includes information regarding the purchase and payment dates.

When a facility's requested reimbursement is determined through the receipt(s) to include allowable and non-allowable purchases, the reimbursement amount is adjusted on the *Child Care Grant Reimbursement Request* CC15, initialed and dated;

- p. Statement of Truth Section contains all of the following:
 - Printed name of individual with signing authority;
 - Signature of individual with signing authority; and
 - Date; and
 - q. Ensure the individual who signed the Statement of Truth has been authorized signatory authority by the facility's owner or Administrator and has been entered into the CCG Program Tracking Spreadsheet. If the individual signing the submission is not listed on the CCG Program Tracking Spreadsheet, Accounting Staff will issue the *Child Care Grant Reimbursement Request – Returned* notice advising the submission is being returned for signatory authority. The facility can either resubmit signed by an individual with signatory authority or submit the documentation granting signatory authority to a new individual.
3. Submissions determined to be complete, accurate, and ready for immediate processing are categorized as Green Track. Accounting Staff will process all Green Track CCG submissions in the Integrated Resource Information System (IRIS) within ten (10)

business days of receipt and forward entered batches to the Accounting Staff designated for the IRIS certification process.

4. Saving for a Future Purchase:

When a child care facility has received preapproval to save for a future expenditure, see 2040-3 A Saving Funds for a Future Purchase, Accounting Staff will review the *Child Care Grant Reimbursement Request* CC15 form and track the amounts to be paid to the facility, in the CCG Purchase Tracking spreadsheet, ensuring the amount does not exceed the preapproved savings amount or timeframe.

- a. Information will be entered and tracked in the CCG Purchase Tracking spreadsheet. Facilities may receive a portion of the CCG funds to reimburse for allowable expenditures during the same months they are saving for a future purchase. The CCG Payment Tracking spreadsheet will be reviewed for the actual amount to be processed for payment and the CCG Purchase Tracking spreadsheet updated based on the agreement;
- b. When the agreed upon amount has been saved, Accounting Staff will contact the child care facility and then issue *Child Care Grant Program – Information Needed* notice to obtain the purchase date and remind the child care facility to submit the receipt(s) with the *Child Care Grant Reimbursement Request* CC15 form for the report month in which the item was purchased.

Issuance of the *Child Care Grant Program – Information Needed* notice is documented in an ICCIS case note using subject heading: CCG Information Needed and includes in the body the specific information requested. The notice is placed in the Accounting Staff's pend rack awaiting the submission;

- c. Accounting Staff's copy of the *Child Care Grant Program – Information Needed* notice is attached to the submission containing the receipt for which CCG funds were being saved; and
- d. Accounting Staff update the CCG Purchase Tracking spreadsheet, process the payment, and file the notice and submission in the facility's billing file.

5. Applying Funds to a Past Purchase:

When a child care facility has received preapproval to be reimbursed for an expenditure made in a past report month that

will be applied to future report months, see 2040-3 B Applying Funds to a Past Purchase, Accounting Staff will review the *Child Care Grant Reimbursement Request* CC15 form and track the amounts that have been paid to the child care facility ensuring the amount does not exceed the preapproved purchase amount or timeframe.

- a. Information will be entered and tracked in the CCG Purchase Tracking spreadsheet. Child care facilities may not receive a portion of the CCG funds to reimburse for other allowable expenditures until the full approved purchase amount has been reimbursed. The CCG Payment Tracking spreadsheet will be reviewed for the actual amount to be processed for payment and the CCG Purchase spreadsheet updated based on the agreement;
- b. When the agreed upon amount has been reimbursed, Accounting Staff will issue a *Child Care Grant Program Purchase Reimbursement Agreement – Completed* notice to the child care facility advising that the agreed upon reimbursement agreement is completed.

Issuance of the *Child Care Grant Program Purchase Reimbursement Agreement – Completed* notice is documented in an ICCIS case note using subject heading: CCG Purchase Reimburse Agreement Completed and includes in the body the date completed and item purchased. The notice is filed in the facility's billing file; and

- c. Accounting Staff updates the CCG Purchase Tracking spreadsheet.
6. When the Accounting Staff is unable to reach the child care facility:
- a. A message detailing the errors by page, row, and column, whenever possible, or requesting a return call is to be left;
 - b. The attempted contact is documented in an ICCIS case note using subject heading: CCG Attempted Contact;
 - c. The second (2nd) business day following the initial attempt to contact the provider, Accounting Staff will issue the *Child Care Grant Program Reimbursement Request – Returned* notice indicating all items which need correction or information needed to the facility along with the original pages of the forms submitted; and
 - d. A copy of the submission is maintained with a copy of the *Child*

Care Grant Program Purchase Reimbursement Agreement – Completed notice in the Accounting Staff's CCG Pend rack by the resubmission due date.

2020-2 B. SUBMISSIONS CORRECTED BY ACCOUNTING STAFF

When corrections are made to the *CCG Reimbursement Request* CC15 form, which do not impact the payment amount, a notice is not sent. If it appears there is an issue with the Excel workbook, Accounting Staff will make a copy, identify if it was paid or not, and place the copy in the Eligibility Staff's mailbox for follow-up with the provider.

If the provider is not completing the *CCG Reimbursement Request* CC15, *Attendance Report Form* CC14 or the *Reimbursement Request for Staff Salaries and Benefits or Substitute Care* CC31 form correctly, is making repeated mistakes; such as entering O and / instead of F and P or marking an X on the *Attendance Report Form* CC14 for those days the provider is not open; or not using the most current forms from the CCPO website, Accounting Staff will contact the provider to explain the issue and request they make the necessary adjustments with their next month's submission. Accounting Staff will document the contact detailing the issue and the provider's response in an ICCIS case note.

When corrections are made to the *CCG Reimbursement Request* CC15 form that also include a change of the qualifying reimbursement amount entered in line four (4) or in the expenditure categories in number eleven (11), a *Child Care Grant Program Payment - Adjusted* notice must be issued to the child care facility. The Accounting Staff will stamp "Adjusted" in the lower left corner on *CCG Reimbursement Request* CC15 form to indicate that a notice is required to be sent. The notice is completed and attached to the submission and included in the batch to the Accounting Staff designated for the certification process. The notice is mailed by the Accounting Staff, after the CCG submission has been keyed into IRIS for payment. This may require the issuance date on the notice to be changed to the date it is actually placed in the mail. The Accounting Staff will document the action in an ICCIS case note using subject heading: MM/YYYY CCG Adjusted. A copy of the corrected or adjusted *CCG Reimbursement Request* CC15 form is returned to the provider with the notice.

2020-2 C. SUBMISSION RETURNED UNPAID

If the submission is received during the same month as the report month it cannot be processed for payment and a *Child Care Grant Program Payment – Denied* notice is issued. Issuance of the notice is documented in an ICCIS case note using subject heading: CCG Grant Payment Denied and includes in the body the reason payment was denied. Accounting Staff update the CCG Payment Tracking Spreadsheet and file a copy of the notice in the child care facility's billing file.

The child care facility may resubmit the submission on or after the first day and no later than the last day of the month following the report month.

When Accounting Staff is unable to reach the child care facility to obtain clarifying or correct information and has left a detailed message for the facility as outlined in 2020-2 A. 6 above, the *Child Care Grant Reimbursement Request – Returned* notice is issued. The Accounting Staff will document the action in an ICCIS case note using subject heading: CCG Returned and enter "RTN" on the CCG Payment Tracking Spreadsheet in the Batch # column next to the appropriate Report Month for that child care facility.

When a *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 form(s) are returned to the child care facility for correction, the facility must be given until the last day of the month following the month in which the notice was issued as a due date for the documents to be returned. Only the page(s) containing the error(s) needing corrected are necessary to be returned to the facility. Copies of the pages returned to the facility are retained with the originally submitted documents until the corrected pages are returned. Upon receipt of corrections the original documents are attached to the submission. If corrections are not received, the original submission is retained with the *Child Care Grant Reimbursement Request – Returned* notice.

Example: *Child Care Grant Reimbursement Request CC15 form for the report month for August is reviewed on September 29th and needs to be returned because it included two weeks in August in which the facility was closed. The Child Care Grant Reimbursement Request – Returned notice dated October 2nd advises the facility to submit the corrected forms by November 30th or the request will be denied.*

The *Child Care Grant Reimbursement Request – Returned* notice is sent to the child care facility with the submitted *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms. A copy of the notice and all attachments are filed in the Accounting CCG

pend rack by the resubmission due date.

If Accounting Staff receive a submission for a report month which has already been processed for payment and there are no changes to the original submission, Accounting Staff will attach it to the existing paid submission and file it in the facility's Accounting file.

If Accounting Staff receive a submission for a report month which has already been processed for payment and there has not been an Administrative Review requiring the payment to be made due to a CCPO error, the submission is denied. The *Child Care Grant Program Payment – Denied* notice is issued with the submitted *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms. A copy of the notice and all attachments are filed in the facility's billing file.

2020-2 D. RESUBMISSIONS

When a corrected *Child Care Grant Reimbursement Request* CC15, *Attendance Report* CC14 form(s), and/or *Child Care Grant Reimbursement for Staff Salaries and Benefits or Substitute Care* CC31 as requested, are received or postmarked by the due date on the *Child Care Grant Reimbursement Request – Returned* notice, Accounting Staff will review and if acceptable process the request.

When a corrected *Child Care Grant Reimbursement Request* CC15, *Attendance Report* CC14 form(s), and/or *Child Care Grant Reimbursement for Staff Salaries and Benefits or Substitute Care* CC31 as requested, are not received or postmarked by the due date on the *Child Care Grant Reimbursement Request – Returned* notice, Accounting Staff will deny the request.

Accounting Staff will pull the *Child Care Grant Reimbursement Request – Returned* notice issued by the Accounting Staff from the CCG pend rack and attach it to the resubmission documents.

1. Received by Due Date

When the resubmission is received by the due date listed in the *Child Care Grant Reimbursement Request – Returned* notice, Accounting Staff will follow the review process in section 2020-3 A. General Review of Submissions and complete the CCG Payment Tracking Spreadsheet. See section 2030-4 Child Care Grant Payment Tracking Spreadsheet.

2. Received After the Due Date

When the resubmission is received by the due date listed in the *Child Care Grant Reimbursement Request – Returned* notice, Accounting Staff will:

- a. Issue a *Child Care Grant Program Payment – Denied* notice within five (5) business days, with their right to request an Administrative Review to the facility;
- b. Document the action in an ICCIS case note using subject heading: MM/YYYY CCG Payment Denied and include in the body of the case note the reason payment was denied;
- c. Enter “DENY” on the appropriate fiscal year’s CCG Payment Tracking Spreadsheet in the Batch # column next to the appropriate Report Month for that child care facility; and
- d. File a copy of the notice with supporting documents in the facility’s billing file.

If a resubmission contains error(s) which are not adjustable by CCPO Staff, the resubmission is denied. Accounting Staff review and process resubmissions received on or before the deadline identified in the *Child Care Grant Reimbursement Request – Returned* notice, even if a *Child Care Grant Program Payment – Denied* notice has been issued.

2030

CHILD CARE GRANT PROGRAM PAYMENT PROCESSING – ACCOUNTING STAFF

This chapter details the procedural requirements that Accounting, and Child Care Program Office (CCPO) Staff must follow when they receive *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms for payment processing.

This chapter references Alaska Administrative Code (AAC) 7 AAC 39.030 and 7 AAC 39.035.

2030-1

SUBMISSION FOR PAYMENT PROCESSING: GREEN TRACK / RED TRACK

Accounting Staff will complete a batch of reviewed *Child Care Grant Reimbursement Requests* CC15, which have been entered in the Child Care Grant (CCG) Payment Tracking Spreadsheet and approved for payment.

The batch has no minimum size limits, but common practice is that they do not exceed thirty (30) *Child Care Grant Reimbursement Requests* CC15.

Once a thorough review and the applicable actions are taken for the *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms, Accounting Staff will sort them into:

1. No errors for next CCG Batch Folder “Accounting Green Track” or
2. Errors, “Accounting Red Track.”

2030-1 A. SUBMISSIONS WITHOUT ERRORS (ACCOUNTING GREEN TRACK)

Child Care Grant Reimbursement Request CC15 and *Attendance Report* CC14 forms without errors (Accounting Green Track) will be identified as submitted for payment in the CCG Payment Tracking Spreadsheet with the Batch number in the Batch # cell.

To prepare the *Child Care Grant Reimbursement Request* CC15 form to be keyed into the Integrated Resource Information System (IRIS), Accounting Staff will sort requests into groups of approximately twenty-five (25) and place them in a blue CCG Batch # folder starting with Batch #1 on the first (1st) of each month. The folders are used in sequential order daily for the report month’s submissions.

2030-1 B. SUBMISSION WITH ERRORS (ACCOUNTING RED TRACK)

Child Care Grant Reimbursement Request CC15 and *Attendance Report* CC14 forms with errors will be identified as HOLD, RTN, or DENY in the Batch # column of the appropriate fiscal year CCG Payment Tracking Spreadsheet depending on the nature of the issue identified during the review.

Accounting staff will file CCG submissions as follows:

1. Hold = Pend rack for one business day
2. Returned unpaid = CCG Reimbursement Returned Rack, by the due date provided in the notice
3. Denied = Provider’s CCG accounting hard file.

All CCG resubmissions are treated as new submissions for review purposes.

For Accounting Staff steps, see section 2020-2 Submissions – Accounting Staff.

2030-2

ACTIONS TAKEN ON THE ATTENDANCE REPORT FORM

The following actions are completed by Accounting Staff for each *Attendance Report* CC14 form submitted. Items needing correction are lined through, and the correct information is added, initialed, and dated. Any discrepancies which cannot be corrected, or the correct information cannot be obtained, are circled.

1. On manual forms submitted, count the actual attendance documented in each row, randomly for two (2) children to ensure it matches the Total Full Time Equivalent (FTE) calculation documented by the facility. If the information is correct, no further review of children's attendance by row is needed. If the information is not correct the entire attendance report is added. The needed corrections are made, initialed, and dated. The attendance documented is counted as:
 - "F" = one (1); and
 - "P" = zero point five (0.5).

Additional coding may be entered by providers using the Excel workbook:

- FP = one (1);
 - SI = one (1); and/or
 - N = one (0).
2. Count the actual attendance documented for each day by numbered column (1 - 31) for the same two (2) children reviewed in number one (1) to ensure it matches the Daily Page Totals calculation documented by the facility. If the information is correct, no further review of children's attendance by column is needed. If the information is not correct the entire attendance report is added. The needed corrections are made, initialed, and dated.

2030-3

ACTIONS TAKEN ON THE CHILD CARE GRANT PROGRAM REIMBURSEMENT REQUEST FORM

The following actions are completed by Accounting Staff for each *Child Care Grant Reimbursement Request* CC15 form submitted. Items needing correction are lined through, and the correct information is added, initialed, and dated. Any discrepancies which cannot be corrected, or the correct information cannot be obtained are circled.

When a child's name on the *Attendance Report* CC14 does not have attendance documented, and the child has been included in the count, Accounting Staff will adjust the number(s) of children on the *Child Care Grant Reimbursement Request* CC15, in the applicable line(s) six (6) through eight (8), and re-total these lines to reach a corrected total attendance for line nine (9). The corrected total number of children in line nine (9) is multiplied by .05 and rounded up to the next whole number to determine the corrected attendance minimum for line ten (10). The corrections made by Accounting Staff are initialed and dated.

Accounting Staff will:

1. Use all the report month's previously reviewed *Attendance Report* CC14 form(s) submitted, and add each page's subtotal of all the children's daily attendance together. This becomes the number of Full-Time Equivalent Children (FTE). This grand total sum must equal the number entered in line one (1). If the amount entered in line one (1) is incorrect, cross it out and write the correct figure, initial and date;
2. Change the setting on the adding machine to the third (3rd) decimal point and compute the average daily attendance by dividing the grand total of all FTEs entered in line one (1) by twenty-one point seven (21.7). Use the third (3rd) decimal point to round accordingly:
 - a. .000 to .004 the second (2nd) decimal point number does not change, i.e. 17.904 = 17.90
 - b. .005 to .009, the second (2nd) decimal point number will round up to the next number, i.e. 29.126 = 29.13.
 - c. Confirm this is the number entered in line two (2).
3. If the number the facility entered in line two (2) is not the same as the calculation, crosscheck it with the Child Care Grant Program (CCG) Payment Tracking Spreadsheet calculation. If the amount entered in line two (2) is incorrect, cross it out and write the correct figure, initial and date;
4. Multiply the numbers in line two (2) and line three (3) together and confirm this matches the amount entered in line four (4). This

is the facility's maximum qualifying reimbursement amount. If the calculation is different than what is entered by the facility, cross it out and write the adjusted number, initial and date;

5. Skip line five (5) at this time;
6. Add the number of children in lines six (6), seven (7), and eight (8) together. Verify the total number of children documented on all the combined *Attendance Report* CC14 forms matches the number entered in line nine (9). If the amount entered in line nine (9) is incorrect, cross it out and write the correct figure, initial and date;
7. Multiply the number entered in line nine (9) by point zero five (.05) rounding up to the next whole number to get the attendance minimum entered on line ten (10);
8. Verify that the total number of children in lines six (6) and seven (7) are equal to or greater than line ten (10). If the sum of lines six (6) and seven (7) are less than line ten (10), the facility has not met their minimum participation of five percent (5%) for this report month. When the minimum participation has not been met:
 - a. Document in the CCG Payment Tracking Spreadsheet the month number of non-compliance with this participation rate.
 - b. If the facility is on their fifth (5th) sequential month of non-compliance, Accounting Staff will document in an Integrated Child Care Information System (ICCIS) case note with subject heading: CCG 5th month not mtg CCA, and the body of the case note will contain the facility name; ICCIS Facility #; and months of non-compliance. Accounting Staff will print the case note and place it in the Eligibility Staff's mailbox. See 2060-2 A. Fifth Month Review – Not Met.
 - c. Upon the sixth (6th) month of non-compliance the child care facility is subject to their program participation ending. See section 2060-2 B., Sixth Month Review - Not Met;
9. Review receipts and/or *Reimbursement Request for Staff Salaries and Benefits or Substitute Care* CC31 to ensure all items identified for reimbursement are allowable. Line through, initial, and date non-allowable items included; and
10. Add the expenditure categories together to ensure the total matches the amount entered for the CCG reimbursement amount in line eleven (11). This will be used to complete line five (5) that was skipped earlier. The total of all expenditure categories is the

amount the facility can be reimbursed.

- a. If the CCG reimbursement amount requested in line eleven (11) is EQUAL to maximum qualifying reimbursement amount in line four (4), enter the full amount in line five (5); or
- b. If the CCG reimbursement amount requested in line eleven (11) is GREATER THAN the maximum qualifying reimbursement amount in line four (4), enter the maximum qualifying reimbursement amount from line four (4) in line five (5); or
- c. If the CCG reimbursement amount requested in line eleven (11) is LESS THAN the maximum qualifying reimbursement amount in line four (4), enter the CCG reimbursement amount requested from line eleven (11) in line five (5); and
- d. Enter the applicable coding in the Child Care Program Office (CCPO) Accounting Use Only box, based on if the provider is licensed for CCAP infants and/or toddler ages, and initial and date indicating the submission has been reviewed and is ready for payment processing in the Integrated Resource Information System (IRIS).

2030-4

CHILD CARE GRANT PROGRAM PAYMENT TRACKING SPREADSHEET

Accounting Staff must enter information into the Child Care Grant (CCG) Payment Tracking Spreadsheet when processing submissions for payment by state fiscal year.

2030-4 A.

PREPARING FOR SPREADSHEET ENTRIES

Accounting Staff will access the CCG Payment Tracking Spreadsheet for the applicable state fiscal year located in the Child Care Program Office (CCPO) shared drive, to enter the correct and completed CCG Batches.

Before making entries into the CCG Payment Tracking Spreadsheet, Accounting Staff will review to ensure a payment has not already been processed to the child care facility for the report month, verify the Vendor Customer Number (VCN), Integrated Child Care Information System (ICCIS) Number, Facility, and individual with signatory authority entered on the spreadsheet match what is documented on the CCG submission.

Accounting Staff will also verify the CCG approval effective date “CCG APPVL DATE” for the facility. When the CCG submission is for a time prior to their approval effective date the report month submission is denied.

2030-4 B. COMPLETING SPREADSHEET ENTRIES

Accounting Staff will enter information from the CCG report month submission into the applicable state fiscal year’s CCG Payment Tracking Spreadsheet to complete all the columns. To locate the correct facility, enter the VCN # or ICCIS # using the shortcut of “CTRL”+“F”.

Starting at the month on the spreadsheet for the CCG report month submission, enter the information from each line number on the *Child Care Grant Reimbursement Request* CC15 form into the corresponding columns:

1. Batch #: Enter the folder # the CCG report month submission is batched in;
2. FTE: Enter the number from *Child Care Grant Reimbursement Request* CC15 form from line one (1);
3. AVE FTE: This is auto-populated after an entry is made in number two (2) above and must match line two (2) of the *Child Care Grant Reimbursement Request* CC15 form;
4. Final FTE: Re-enter the auto-populated number from the AVE FTE in the spreadsheet. MS Excel maintains all decimal places when using formulas. Re-entering the AVE FTE ensures that the spreadsheet only calculates the amount based on two (2) decimal points;
5. Geographic Region: Verify the community entered matches the facility’s physical location;
6. Infant/Toddler IRIS code: Verify the correct Integrated Resource Information System (IRIS) code is auto-populated based on if the provider is licensed for Child Care Assistance Program (CCAP) infant and/or toddler ages or not;
7. CCG Geographic Rate: Verify the rate entered is correct for the facility’s community based on the *Child Care Grant Program Rate Schedule*;

8. Qualifying Payment Amount: Verify the amount matches the *Child Care Grant Reimbursement Request* CC15 form line four (4);
9. CCG Reimbursement Amount Requested: Enter the amount from line eleven (11) of the *Child Care Grant Reimbursement Request* CC15 form;
10. Actual CCG Reimbursement Amount: Enter the amount from line five (5) of the *Child Care Grant Reimbursement Request* CC15 form;
11. # CCAP (C): Enter the number of children enrolled with an authorization issued by the CCAP from line six (6) of the *Child Care Grant Reimbursement Request* CC15 form;
12. # OCS (O): Enter the number of children enrolled with an authorization issued by the Office of Children’s Services (OCS) from line seven (7) of the *Child Care Grant Reimbursement Request* CC15 form;
13. # Other (S): Enter the number from line eight (8) of the *Child Care Grant Reimbursement Request* CC15 form;
14. # Total Child in Care: Verify the auto-populated number matches line nine (9) of the *Child Care Grant Reimbursement Request* CC15 form;
15. CCAP/OCS Required 5% Auth Min: Verify the auto-populated number matches line ten (10) of the *Child Care Grant Reimbursement Request* CC15 form;
16. Facility Actual CCAP/OCS Auth: Entries from number ten(10) and eleven (11) above are added and auto-populated and match the sum of lines six (6) and seven (7) of the *Child Care Grant Reimbursement Request* CC15 form;
17. Meets five percent (5%)
Auto-populates with a YES or NO based on previous column entries:
 - a. If YES: continue the reimbursement process; or
 - b. If NO: determine the number of consecutive months (1st, 2nd, 3rd, 4th, 5th or 6th) the facility has been out of compliance with the CCAP participation. Enter “# Month No 5% CCAP/OCS” using numbers one (1) through six (6) as applicable in place of the #.

Upon the fifth (5th) month with no CCAP participation an email using subject heading: CCG 5th Month Not Mtg CCA is sent to the policy mailbox: dpaccp@alaska.gov alerting Eligibility Staff for the next action;

18. Enter the dollar amount to be reimbursed into each of the Expenditure Categories as selected on the *Child Care Grant Reimbursement Request* CC15 form:
 - a. Staff Salaries & Wages;
 - b. Sub Care;
 - c. Supplies, Equip & Activities for Children;
 - d. Health & Safety Costs;
 - e. Child Dev Ed & Training for Staff; and/or
 - f. Other.
19. Date Stamped Received: Enter the date the last document was received to complete the CCG report month submission; and
20. Date Input: Enter date the submission is input into IRIS by entering the month, day and initials (9/18-xx).

Once a batch has been entered into the CCG Payment Tracking Spreadsheet, Accounting Staff will enter the total of all the *Child Care Grant Reimbursement Request* CC15 form's line five (5) included in the batch, in the adding machine and print a tape of the entries with the total. The printed adding machine paper is secured to a single sheet of paper and included in the batch.

2030-5

INTEGRATED RESOURCE INFORMATION SYSTEM (IRIS) DATA ENTRY PROCESS

Accounting Staff will enter all *Child Care Grant Reimbursement Request* CC15 submissions approved for payment into the Integrated Resource Information System (IRIS) for payment processing. Once a batch has been entered into IRIS, it will be forwarded to the Accounting Lead for certifying. As each *Child Care Grant Reimbursement Request* CC15 submission is certified, IRIS will release a warrant to the facility.

2030-5 A.

PAYMENT PROCESSING

Accounting staff will enter all Child Care Grant (CCG) batches and enter the information into IRIS. Accounting Staff will perform the following steps in IRIS:

1. Enter "GAX" in the JUMP TO field and click "Go";
2. Enter 6007 as the unit number In Document Identifier;
3. Enter the department number of 06;
4. Click "create" in the upper left corner;
5. Check the box "Auto Numbering" in Other Options, and click create;
6. Enter into the "Document Description" box the dollar amount, month/year, ICCIS number, and GRT in the Header line, on the General Information tab, For example:
\$506.29 MAR2016 10003715 GRT;
7. Highlight the information entered in the description box and copy it (CTRL C). This will be pasted in twelve (12) h below;
8. Click "Save" at the bottom left;
9. Click the Vendor line, on the General Information tab, click "insert New Line" in the bottom left;
10. Enter the child care facility's Vendor Customer Number (VCN) in the Vendor Customer box;
11. Click "Save" and the system will populate the child care facility's information;
12. Click the Accounting line and click "Insert New Line" in the General Information tab, and:
 - a. Enter the Event Type number AP01;
 - b. Click inside the Line Description Box and paste (CTRL V);
 - c. Enter the reimbursement amount in the Line Amount box;
 - d. The Budget FY and Fiscal Year are prepopulated with the correct State fiscal and budget year (manual input is required during the State fiscal year change);
 - e. In the Vendor Invoice Number box, enter without spaces, the Integrated Child Care Information System (ICCIS) Number and the date. For example: 1000371503102016;
 - f. In the Vendor Invoice Line box, Enter one (1);
 - g. Select today's date in the Vendor Invoice Date box;
 - h. Click inside the Check Description box and paste (CTRL V) to populate the description from seven (7) above; and

- i. Click "Save";
13. Click on the "Fund Accounting" tab and enter:
 - a. Fund: 1004
 - b. Dept: 06
 - c. Unit: 6007
 - d. Appr Unit: 062347001 and
 - e. Object Code: 7020;
14. Click on the Detail Accounting tab and enter the applicable activity code of 6401 if the provider is licensed for Child Care Assistance Program (CCAP) infant and/or toddler aged children, or 6405 if the provider is not licensed for infant or toddler aged children.

If the activity code is 6401, enter CCDF(FY)TANF for the Program.
If the Activity code is 6405, enter CCDF(FY)ACTV for the Program.

Note: The (FY) in the Program code equals the last 2 digits of the fiscal year for example, CCDF19TANF.
15. Enter CCDF00 for the Program Period and click "save";
16. In the General Accounting Expense (GAX) ribbon at the top of the page, click the drop-down box next to "Draft" and select "Additional Document Information";
17. Click "Insert";
18. Enter GRT in the Additional Document Information Type;
19. Click in the Additional Information box and paste (CTRL V);
20. Click "Save" and a gold ribbon will appear documenting the payment you have created;
21. Write the Document ID Number on the *Child Care Grant Reimbursement Request* CC15 in the CCPO Accounting Use Only box;
22. Click "Insert";
23. In the Additional Information Type box, enter BIL;
24. Click in the Additional Information Box and enter in all caps, CHILD CARE PROGRAM OFFICE;

25. Click "Save";
26. Click "Back" in the upper right corner;
27. Click "Save in the bottom left corner;
28. Click "Validate"; and
29. Click "Submit".

After completing the entry and verification of a batch, the Accounting Staff forwards the batch to the Accounting Staff designated for certification in IRIS.

The designated Accounting Staff will certify each batch in IRIS and return the documents to the Accounting Staff who entered the information into IRIS and who will monitor IRIS for the payment to be released. Typically a day or two (2) following a batch being certified in IRIS, payment is released. The Accounting Staff who enter the submissions into IRIS will access each document in IRIS to identify the warrant number associated with each submission. The warrant number is documented on the submission and the submissions are filed in each provider's billing filing.

2030-5 B. PAYMENT CERTIFICATION

An Accounting Technician or the Supervisor will complete the following steps:

1. Access the CCG Payment Spreadsheet to ensure entries match the *Child Care Grant Reimbursement Request* CC15;
2. Access IRIS;
3. In the left navigation, select "Message Center" then select "worklist";
4. In the Select Worklist dropdown menu, select "DPA PR Financial Approver";
5. Enter the Accounting Staff's Submitter ID Number in the Submitter ID field and click "Browse"
6. Click each box on the left for the entire list, making sure to check if

there are multiple pages;

7. Once each box is checked for that specific submitter ID, click “Take Task”;
8. Go back up to the Select Worklist drop down, and select your own name;
9. Click on the document ID number that matches the number written on the bottom of the first (1st) page of the *Child Care Grant Reimbursement Request* CC15 in the CCPO Accounting Use Only box;
10. In the Header line, on the General Information tab, ensure the Document Description matches the amount to be paid on the *Child Care Grant Reimbursement Request* CC15, as well as the ICCIS number and the report month/year;
11. Click on the Vendor line, and the General Information tab, and compare it to the *Child Care Grant Reimbursement Request* CC15 to ensure the Vendor Customer box has the correct VCN, the Legal Name box matches the Facility Name, and the address matches;
12. Click on the Accounting line, and on the General Information tab, check for the following:
 - a. The Line Description box matches the Check Description box;
 - b. The Line amount is the correct reimbursement amount; and
 - c. The Vendor Invoice Number is the ICCIS number and date;
13. Click on the Detail Accounting tab within the Accounting line, and confirm:
 - a. The Activity code entered matches the code written on the bottom of the first (1st) page of the *Child Care Grant Reimbursement Request* CC15 in the CCPO Accounting Use Only box; and
 - b. The Program entered is the correct federal fiscal year code;
14. If all the information in the previous steps is correct, click “approve”. If at any time, any of the above mentioned information in the steps above is incorrect, you will click “reject” in the bottom left corner. If rejected, add a note in the reject reason box;
15. Once approved or rejected, click “Home” to go back to your worklist and move to the next *Child Care Grant Reimbursement Request* CC15;

16. If the submission was rejected, keep it separate from the batch and return it to the Accounting Staff who entered the payment for correction. If the submission was approved, sign and date the bottom of the submission in the CCPO Accounting Use Only box, and keep it in the batch;
17. Once the entire batch has been approved or rejected, return the batch to the Accounting Staff who entered the batch into IRIS.

2030-6

STOP PAYMENT

Any provider who has not received, lost, or did not timely cash a previously issued warrant, may request it to be canceled and reissued. These are referred to as "Stop Payments." Stop Payments will not be issued until a minimum of ten (10) business days have passed from the date the original warrant was issued. A *Warrant Status Change Request* form is needed. The most current form can be accessed at: http://doa.alaska.gov/dof/forms/resource/wrnt_status_chg_req.pdf.

When a provider requests a payment to be reissued, the Child Care Program Office (CCPO) Accounting Staff will:

1. Advise the child care provider:
 - a. A stop payment is not issued until at least a minimum of ten (10) business days has passed from the date the original warrant was issued;
 - b. If the warrant is located within twenty-four (24) hours of submitting the *Warrant Status Change Request* form they must contact the CCPO Accounting Staff immediately toll free at 1-888-268-4632;
 - c. If the warrant is located after twenty-four (24) hours of submitting the *Warrant Status Change Request* form they must immediately mark it as VOID and mail it to CCPO Accounting Staff; and
 - d. If a double payment of these funds inadvertently occurs it must be repaid;
2. Assist the provider in completing the *Warrant Status Change Request* form by guiding them to:
 - a. Select "General Warrant";
 - b. Enter the Warrant number, net amount, and issue date obtained from CCPO Accounting Staff;
 - c. Select or have the provider select the applicable reason for the stop payment;
 - d. Enter or have the provider enter their printed name as the

- Payee Name;
- e. Enter or have the provider enter their mailing address in the Payee address, city, state and zip code; and
 - f. Have the provider complete the “Payee Signature” section ensuring they sign it and enter in the date and their telephone number;
3. Document receipt of the *Warrant Status Change Request* form in a case note in the provider’s case in the Integrated Child Care Information System (ICCIS) using subject heading: Stop Pay Request Received. The body of the case note includes the date the request was received by the CCPO, the service month, and amount;
 4. Review ICCIS and the Integrated Resource Information System (IRIS) to ensure the mailing address listed on the *Warrant Status Change Request* form is the same in both systems.
 - a. If the mailing address in ICCIS and on the *Warrant Status Change Request* matches the address in IRIS no additional documentation is needed.
 - b. If the mailing address in ICCIS matches the *Warrant Status Change Request* form but doesn’t match the address in IRIS; Accounting Staff will request a copy of the provider’s current *State of Alaska Substitute Form W-9* from the Child Care Assistance Program’s Designee;
 - c. If the mailing address in ICCIS is to be changed, Accounting Staff will notify the Licensing Staff. Once the ICCIS address is updated to match the *Warrant Status Change Request* form, if it doesn’t the address in IRIS, Accounting Staff will request a new *State of Alaska Substitute Form W-9* from the provider and request the update in IRIS;
 5. Cancel the original payment transaction in IRIS by completing all required actions and coordination in ICCIS and IRIS;
 6. Reissue the payment to the provider in ICCIS;
 7. Document in a case note in the provider’s case in ICCIS using subject heading: Stop Pay Completed, detailing the transaction to include the service month(s), amount, reason for the stop pay; and reference the old warrant number and date issued;
 8. Contact the provider advising the process has been completed; and

9. Match the *Warrant Status Change Request* form and *Child Care Grant Reimbursement Request* CC15 and file in the provider's billing file.

2040

CHILD CARE GRANT PROGRAM EXPENDITURES FOR REIMBURSEMENT

This chapter references Alaska Administrative Code (AAC) 7 AAC 39.040.

A participating child care facility may only request and be paid reimbursement through the Child Care Grant (CCG) Program for costs associated with maintaining the operation of their facility as currently licensed. Any items for which reimbursement is requested must have been purchased during the CCG approval period. Child care facilities may be approved to save or apply CCG funds to a purchase. See section 2040-3, *Saving or Applying Funds for a Purchase*.

Participating child care facilities must submit a copy of their receipts for items purchased or the *Child Care Grant Reimbursement for Staff Salaries and Benefits or Substitute Care* CC31 form if requesting reimbursement for staff salaries and benefits or substitute care and retain the original receipts and other records of expenditures. See section 2100-1, *Facility Records Retention*.

Submissions with a quote, invoice, purchase order, or other similar documentation for an item are not acceptable for payment reimbursement unless the document also includes information regarding the purchase and payment dates. When included on the receipt, applicable sales tax and shipping costs are to be included in the reimbursement amount.

When an item is listed on the receipt only as a universal product code or other way prohibiting the Child Care Program Office (CCPO) from reasonably determining what the specific item is, it will not be considered allowable for reimbursement.

When a facility's requested reimbursement is determined through the receipt(s) to include allowable and non-allowable purchases, the reimbursement amount is adjusted on the *Child Care Grant Reimbursement Request* CC15 and initialed and dated.

2040-1

ALLOWABLE EXPENDITURE CATEGORIES

Categories of expenditures allowable for reimbursement with Child

Care Grant (CCG) funds related to child care facility operation include: staff salaries and benefits; cost of providing for substitute care; health and safety costs; costs of supplies, equipment, and activities for children in care; and child development education and training. Child care facilities may contact Accounting Staff if they have questions.

2040-1 A. STAFF SALARIES AND BENEFITS

Allowable expenditures for staff salaries and benefits include:

- 1. Staff salaries/wages; and**
- 2. Staff benefits, such as:**
 - a. Paid professional associations membership;
 - b. Paid leave allowed per facility policy;
 - c. Paid holidays;
 - d. Insurance (health, life, dental, vision, fully or partially paid);
 - e. Paid release time for professional development; and/or
 - f. Retirement

2040-1 B. COSTS OF PROVIDING SUBSTITUTE CARE

The allowable expenditures for costs of providing for substitute care include expenditures for Salaries and Benefits. See sections 2040-1 A., Staff Salaries and Benefits and 2040-1 C. 6, and 11-13, Health and Safety Costs.

2040-1 C. HEALTH AND SAFETY COSTS

Allowable expenditures for health and safety costs include:

1. First Aid kits/First Aid kit items as listed in Alaska Administrative Code (AAC) 7 AAC 10.1075;
2. Disaster kits/Disaster kit items as listed in 7 AAC 10.1010;
3. Replacement Carbon Monoxide detectors, smoke/fire detectors, and fire extinguishers;
4. Video surveillance cameras and/or other monitoring devices;
5. Car seats and booster seats;

6. Background checks, including costs associated with fingerprint rolling and processing of the request for a background check through the Alaska Background Check Program (BCP);
7. Required inspection and/or testing fees, such as those associated with Fire, Department of Environmental Conservation (DEC) and Land Use and Zoning;
8. Health and/or safety items required in order for a facility to comply with State or Municipal requirements to increase capacity or change facility type, such as sprinkler system or fire door;
9. Health and/or safety items required in order for a facility to comply with State or Municipal requirements regarding potable drinking water availability;
10. Conditional Use Permits;
11. Cardiopulmonary Resuscitation (CPR) and first aid training and certification for staff;
12. Flu shots, vaccines and tuberculous (TB) Tests for staff;
13. Physicals;
14. Thermometers, water and body;
15. Electrical outlet covers, child proof door knobs and drawer latches and other safety devices;
16. Child safety gates, pads or safety barriers;
17. Facility Phone;
18. Insurance (vehicle, facility and business);
19. Replacement or additional playground safety materials and coverings;
20. Cleaning solutions and supplies including but not limited to dish soap, sterilizing spray and paper towels;
21. Contracted services for janitorial or laundry services; and

22. Other health and safety related items such as: bottle sterilizer, baby wipes, changing pads, toilet paper, tissue, light bulbs, and gloves.

2040-1 D. COSTS OF SUPPLIES, EQUIPMENT AND ACTIVITIES FOR CHILDREN IN CARE

Costs of supplies, equipment, and activities for children in care do not include items needed for a facility to comply with a specialization on their child care license. Allowable expenditures include:

1. Supplies:

- a. Age appropriate toys, both indoor and outdoor;
- b. Arts and crafts, construction paper, paint, etc.;
- c. Manipulatives such as building/snap blocks, marble runs, puzzles, etc;
- d. Children's books and games;
- e. Chalk or sidewalk chalk;
- f. Bubble mixture and bubble wands; and/or
- g. Dramatic play clothes/items.

2. Equipment:

- a. Classroom furniture or large items such as book/toy shelf or cabinet, sensory table, child size chairs, child size tables, toy furniture/appliances, cubbies, booster chairs;
- b. Computer hardware and/or software and printer used either by children in care or for the purpose of tracking attendance or other children's records;
- c. Sand box, sand/buckets, shovels;
- d. Playground equipment/items such as: playhouse, swing set, climber, etc;
- e. Diaper changing stations;
- f. Fence materials to enclose play area (not labor costs or tools to build it);
- g. Material to build equipment such as cubbies; and/or
- h. Replacement floor covering such as: carpet, linoleum, tile, wood/vinyl flooring and area rugs to be used only in child care area.

3. Activities:

- a. Age appropriate field trips admission fees including public transportation; and
- b. Hired special guest such as; story teller, clown or puppeteer.

2040-1 E.

COSTS OF CHILD DEVELOPMENT EDUCATION AND TRAINING

Costs associated with training and/or education reimbursed through Alaska's statewide Child Care Resource and Referral (CCR&R) Network or another source, are not eligible for reimbursement through the CCG. Allowable expenditures for costs of child development education and training include:

1. Monthly classroom curriculum, Child Development Associate (CDA) training materials and health and safety related course materials;
2. Registration fees associated with attending child care training or Early Childhood Care and Education conferences (does not include costs associated with travel);
3. Tuition, books, and lab fees associated with university level Early Childhood Education (ECE) classes;
4. Registration/course fees associated with Early Childhood Care and Education on-line or distance delivery trainings;
5. Membership and fees associated with application or accreditation from a nationally recognized Early Childhood Care and Education Association for the facility; and
6. On-site consultations by Alaska's statewide CCR&R Network that are beyond the annual ten (10) hours available.

2040-2

NON-ALLOWABLE EXPENDITURES

Some facility expenditures will not be reimbursed with Child Care Grant Program (CCG) funds. Child Care facilities may contact Accounting Staff to inquire if questions arise.

1. Birthday and holiday parties and gifts for children or staff;
2. Food, snacks, or candy and serving implements such as bottles, plates, cups, and utensils;
3. Movie videos, DVDs, and TV/electronic equipment;

4. Some appliances to include but not limited to popcorn machine, cotton candy machine or coffee maker;
5. Travel costs associated with attending child care training or Early Childhood Care and Education conferences;
6. Private vehicle transportation and/or maintenance costs for training or field trips;
7. Grass seed, sod, or lawn mower;
8. Tax preparation;
9. Tools to build equipment;
10. Animals or animal cages;
11. Office supplies including postage/ stamps;
12. Payment of income taxes;
13. Bug zappers;
14. Rental equipment;
15. Paint for walls; and
16. Diapers.

2040-3 SAVING OR APPLYING FUNDS FOR A PURCHASE

A child care facility participating in the Child Care Grant Program (CCG) may request to save CCG funds to make a future large purchase or may request reimbursement through the CCG for a past purchase.

2040-3 A. SAVING FUNDS FOR A FUTURE PURCHASE

A child care facility may be approved to save CCG funds to make a large purchase at a later date within the same state fiscal year (July 1 through June 30).

The child care facility may request to save funds by completing the *Request to Save Funds for a Future Purchase* CC32 form and submitting

it to the Child Care Program Office (CCPO). The form indicates the item the child care facility intends to purchase, the purchase price, the number of months the child care facility intends to save, and the expected purchase date. Receipt for the purchase of the item must be submitted no later than the last day of the month following the month of the purchase.

To be considered a large purchase and eligible for the CCG funds to be saved, the purchase amount for a single item must be two (2) times the amount of the facility's anticipated reimbursable amount, based on the average of the most recent three (3) month's reimbursements.

Saved payments made to a child care facility will be recouped if the child care facility ceases operation, is suspended, or ends their CCG participation, unless a receipt is provided for purchase of the item. The funds saved exceeding the actual purchase amount for the item will be recouped with the facility's next submission. The purchase must have been made during a time the child care facility was in operation and participating in the CCG.

Accounting Staff will:

1. Within one (1) business day of receiving the request, determine if the item is allowable for reimbursement from the CCG and document the determination in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG Request to Save for Purchase Approved or CCG Request to Save for Purchase Denied;
2. Notify the child care facility of the determination by issuing either a *Child Care Grant Program Request to Save for a Future Purchase – Approved* or *Child Care Grant Program Request to Save for a Future Purchase – Denied* notice of their request to save funds.

The *Child Care Grant Program Request to Save for a Future Purchase – Approved* notice will include the timeframe by which the child care facility must make their purchase not to exceed the current state fiscal year.

3. When the request to save funds for a future purchase is approved:
 - a. Accounting Staff updates the CCG Purchase Tracking Spreadsheet by highlighting the rows for the months the reimbursement is to be applied and adds a comment detailing the purchase. A copy of the *Child Care Grant Program Request to Save for a Future Purchase – Approved* notice is attached to the child care facility's *Child Care Grant Reimbursement*

Request CC15 form. Accounting Staff will monitor all future submissions until the purchase is completed.

- b. Accounting Staff will update the CCG Payment Tracking Spreadsheet by highlighting the rows orange for the months the child care facility is approved to save, adding a comment of what expenditure the child care facility is purchasing, and process the submission. See section 2030, Child Care Grant Payment Processing-Accounting Staff.
- c. Monitor the submissions for receipt of the purchase. If the receipt for the agreed upon purchase is not provided by the due date in the *Child Care Grant Program Request to Save for a Future Purchase Approved* notice, a *Child Care Grant Program-Information Needed* notice is sent. This notice will advise the child care facility if receipt for the purchase is not provided by the due date, action may be taken to re-coup payments made for this purchase. If receipt of the purchase is not provided by the due date, an *Incorrect Payment Preliminary Review Form CC17* is submitted. See section 2070, Incorrect Payments of Child Care Grant Funds.
- d. Upon submission of the receipt for the purchase, reflecting the agreed upon amount or more, a *Child Care Grant Program Purchase Reimbursement Agreement – Completed* notice is sent to the child care facility and a copy is filed in the facility's billing file. The CCG Payment Tracking Spreadsheet is updated to reflect the agreement to save has been completed by notating "purchase agreement completed" in the comment section of the month the purchase was made.
- e. Upon submission of the receipt for the purchase, if the receipt reflects an amount less than the total amount of payments made for the intent of the purchase, the Accounting Staff will document the overpayment in the CCG Purchase Tracking Spreadsheet and issue a *Child Care Grant Program Purchase Reimbursement Agreement – Completed* notice advising action may be taken to re-coup the overpayment amount. An *Incorrect Payment Preliminary Review Form CC17* is completed and submitted. See section 2070, Incorrect Payments of Child Care Grant Funds. A copy of the notice is filed in the child care facility's billing file.

2040-3 B. APPLYING FUNDS TO A PAST PURCHASE

A child care facility may apply CCG funds to a large past purchase made within the same state fiscal year (July 1 through June 30).

The child care facility may request to apply funds to a past purchase by completing the *Request to Apply Funds to a Past Purchase* CC102 form and submitting it to the CCPO along with the receipt for the item purchased. Purchase orders, invoices or other similar documentation submitted as a receipt verifying the method of payment for the purchased items, and include the actual item purchased, date of the actual payment for the purchase, purchase amount and any outstanding balance.

To be considered a large purchase and eligible for the CCG funds to be applied to a past purchase, the purchase amount for a single item must be two (2) times the amount of the facility's anticipated reimbursable amount, based on the average of the most recent three (3) month's reimbursements.

If the child care facility ceases operation for any reason, is suspended or ends their CCG participation, reimbursement funds approved to be applied to a past purchase will end, regardless if the full agreed upon amount has been reimbursed.

***Note:** If the facility re-applies and is approved to again participate in the Child Care Grant Program, a new Request to Apply Funds to a Past Purchase CC102 form must be submitted for approval, even if the purchase was within the prior approval timeframe within the same fiscal year.*

Accounting Staff will:

1. Determine if the item is allowable for reimbursement from the CCG within one (1) business day of receiving the request and document the determination in an ICCIS case note using subject heading: CCG Request to Apply to a Past Purchase Approved or CCG Request to Apply to a Past Purchase Denied.
2. Notify the child care facility of the determination by issuing either a *Child Care Grant Program Request to Apply Funds to a Past Purchase – Approved* or *Child Care Grant Program Request to Apply Funds to a Past Purchase – Denied* notice.
3. When the request to apply funds for a past purchase is approved, the Accounting Staff updates the CCG Purchase

Tracking Spreadsheet by adding the months the reimbursement is to be applied and a comment detailing the purchase.

4. When the full purchase amount is reimbursed, the Accounting Staff reviews the *Child Care Grant Reimbursement Request* CC15 form(s) and issues a *Child Care Grant Program Purchase Reimbursement Agreement – Completed* notice and update the CCG Payment Tracking Spreadsheet.
5. File the *Child Care Grant Program Purchase Reimbursement Agreement – Completed* notice in the facility's billing file.

2050

CHILD CARE GRANT PROGRAM REVIEWS AND MONITORS

This chapter references Alaska Administrative Code (AAC) 7 AAC 39.065.

Eligibility Staff will conduct a random review of at least fifteen (15) Child Care Grant Program (CCG) reimbursement submissions each month to ensure the child care facilities are meeting program compliance.

When information is discovered during the review indicating discrepancies or potential non-compliance(s), an official CCG Monitor will be conducted and may entail a desk and/or on-site review. If it is determined an on-site review is needed, the Eligibility Staff will notify the Regional Licensing Supervisor of the concern and identify the items to either be reviewed on-site or copies obtained from the facility during a follow up inspection conducted by the Licensing Staff.

2050-1

RANDOM REVIEWS

Eligibility Staff will complete a review of the facility's submission using the Child Care Grant Program form as a checklist, for the identified month for those randomly identified by the Division of Public Assistance (DPA), Program Integrity and Analysis (PI&A) Unit.

1. PI&A will notify the Eligibility Staff via email and to the policy mailbox at dpaccp@alaska.gov when monthly reports are accessible in the shared drive;
2. Eligibility Staff will:

- a. Access the list of selected providers and pull the facility's Child Care Grant (CCG) submission for the most recent service month on file;
 - b. Complete the review;
 - c. Determine if an on-site compliance inspection is required and if so, notify the Regional Licensing Supervisor and enter an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG Compliance On-Site Requested. See 2050-1 C. Licensing On-site Compliance Inspection;
 - d. Document the review results in an ICCIS case note using subject heading: CCG Review; and
 - e. Update the CCG Program Tracking Spreadsheet to track child care facilities reviewed for minimum participation requirements
3. Licensing Staff will conduct an on-site inspection, as needed and provide Eligibility Staff with their findings.

2050-1 A. REVIEWING CHILD CARE ASSISTANCE PROGRAM CHILDREN'S ATTENDANCE

To review Child Care Assistance Program (CCAP) children's attendance, Eligibility Staff will access the facility's operating schedule, including closures, in ICCIS. Eligibility Staff will compare information on the review month's *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms to information available in ICCIS, and/or by contacting the Office of Children's Services (OCS) to confirm CCAP children in their program.

Eligibility Staff will compare the children's names on the *Attendance Report* CC14 form to the ICCIS Payment Option screen to determine if a child care facility is meeting the minimum participation requirement. See sections 2000-2, Eligibility Criteria for Participation and 2010-2, Eligibility Maintenance.

The *Attendance Report* CC14 form is reviewed in detail for accuracy. Each column and row is added and compared to the information entered on the *Child Care Grant Reimbursement Request* CC15 form.

If the Eligibility Staff determines there is an error on the *Attendance*

Report CC14 which caused an incorrect payment, the steps in 2070 Incorrect Payments of Child Care Grant Funds and/or 2090 Child Care Grant Sanctions and How to Impose will be followed.

If the Eligibility Staff have reason to believe submissions for additional months are to be reviewed a monitor review will be conducted. See section 2050-2 Monitors.

2050-1 B. REVIEWING CHILD CARE GRANT PROGRAM REIMBURSEMENTS

To review *Child Care Grant Reimbursement Request* CC15 forms, Eligibility Staff will evaluate receipts submitted by the child care facility to ensure they match the category of allowable expenditures for how funds were used, the amount requested for reimbursement, and if the items are allowable.

All information contained on the *Child Care Grant Reimbursement Request* CC15 form is reviewed and recalculated to ensure correctness.

When the expenditure was for staff salaries and benefits or substitute care, Eligibility Staff will, confirm the individual listed on the *Reimbursement Request for Staff Salaries and Benefits or Substitute Care* CC31 is listed in ICCIS as a current staff member of the child care facility.

If it is determined the individual listed on the *Reimbursement Request for Staff Salaries and Benefits or Substitute Care* CC31 was not an active staff member during the report month or is not listed in ICCIS for the facility, a *Child Care Grant Program- Information Needed* is issued advising the child care facility documentation supporting the Individual's association with the facility during the review month is needed and a ten (10) day due date using the Adverse Action Calendar. An ICCIS case note is entered using subject heading: CCG Review Information Needed. The body of the case note includes the specific information needed and the due date. If the child care facility does not provide the information requested by the due date, they may receive a sanction. See section 2090, Child Care Grant Sanctions and How to Impose.

If the Eligibility Staff has reason to believe submissions for additional months are to be reviewed a monitor review will be conducted. See section 2050-2 Monitors.

Information determined to be in error causing the facility to have been paid incorrectly is processed as an Incorrect Payment. See section 2070 Incorrect Payments of Child Care Grant Funds.

2050-1 C. LICENSING STAFF COMPLIANCE REVIEW ON-SITE INSPECTION OR INVESTIGATION

When a CCG compliance review on-site is determined to be needed the Eligibility Staff will notify the Regional Licensing Supervisor by email using subject heading: CCG Compliance Review On-Site Requested. The body of the email will include the facility name and ICCIS number and the specific items to be reviewed or confirmed by the licensing staff. The Eligibility Staff document the request to licensing in an ICCIS case note, using subject heading: CCG On-site Requested. The body of the case note includes the actions taken, specific information needed, and the date requested.

The Regional Licensing Supervisor will determine the timeframe for the on-site inspection based on staff availability and/or the next time Licensing Staff will be in the facility's community.

Licensing Staff will:

1. Conduct an inspection to include the specific CCG items; and
2. Complete a *Report of Inspection* or *Report of Investigation* within fourteen (14) days of completing the on-site, and when applicable follow the Licensing Investigation policies and Complaint and Enforcement Review Committee Guidelines.

2050-2 MONITORS

The Child Care Grant Program (CCG) monitor review may include up to the past twelve (12) months. Each month's submission and supporting documentation that is subject to the monitor is reviewed in detail. Eligibility Staff will:

1. Complete the *Child Care Grant Program Monitor* form; and
2. Document in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG Monitor Conducted, a summary of the outcome of the CCG Monitor review, actions taken

and any action required by the child care facility and applicable deadline(s).

2050-2 A. ADDITIONAL MONITOR INFORMATION NEEDED

If additional information is needed from the child care facility to complete the monitor a *Child Care Grant Program - Information Needed* notice is issued advising the child care facility what is needed and a ten (10) day due date using the Adverse Action Calendar. An ICCIS case note is entered using subject heading: CCG Monitor Information Needed and documenting the action.

If the child care facility does not provide the information requested by the due date, they may receive a sanction. See section 2090, Child Care Grant Sanctions and How to Impose.

2050-2 B. INFORMATION EVALUATION FOR A MONITOR

Eligibility Staff will evaluate information from ICCIS, the Office of Children Services (OCS), the Child Care Food Program, licensing records, the child care facility and staff, and/or any other available sources to determine the child care facility's compliance.

2050-2 C. MONITOR REPORT

A written *Monitor Report* is issued to the child care facility at the completion of each CCG Monitor review. The report is submitted to the supervisor of the Eligibility Staff for approval prior to issuance to the child care facility. Once the *Monitor Report* is acceptable, both the Eligibility Staff and their supervisor sign and date the report.

The *Monitor Report* identifies the status of the child care facility's CCG compliance and as applicable will include:

1. A corrective action plan with a thirty (30) day deadline based on the Adverse Action Calendar to become compliant;
2. Incorrect Payment findings. See Section 2070, Incorrect Payments of Child Care Grant funds; and/or
3. *Child Care Grant Sanction – Imposed* notice. See section 2090, Child Care Grant Sanctions and How to Impose.

An ICCIS case note is entered using subject heading: CCG Monitor Report Issued, documenting the action and detailing the contents of the findings included in the report.

If corrective action is required, the Eligibility Staff will conduct a subsequent review to evaluate compliance with the documented areas of non-compliance identified in the *Monitor Report*.

2060

CHILD CARE GRANT PROGRAM MINIMUM PARTICIPATION REVIEW

This chapter references Alaska Administrative Code (AAC) 7 AAC 39.025(c).

For participation in the Child Care Grant Program (CCG) a child care facility must maintain at least the minimum participation requirement for children in care, of five percent (5%) or one child whichever is greater, who have been issued a *Child Care Authorization* document through the State of Alaska Child Care Assistance Program (CCAP), within any six (6) month period. Child Care Authorizations issued by the Office of Children's Services for children in protective services or foster care are also included.

Accounting Staff will send an email to dpaccp@alaska.gov for Eligibility Staff using the subject heading: CCG 5th Month Not Mtg CCA, during the processing of submissions, when the minimum participation requirement is not met in the fifth (5th) sequential month.

Upon receiving the notification Eligibility Staff will:

1. Review the Integrated Child Care Information System (ICCIS) to ensure the facility has CCAP children authorized at the level necessary to meet the five percent (5%) or one child; and/or
2. Contact the Office of Children's Services (OCS) to identify any OCS authorized children during the review timeframe which will meet the participation requirement.

Eligibility Staff will take action based on the findings of their review. When it is determined a facility has been reimbursed for more than six (6) months without meeting the minimum participation requirement, the Eligibility Staff will end the facility's CCG participation effective the last day of the month the error was

discovered and complete the Incorrect Payment process. See 2070 Incorrect Payment of Child Care Grant Funds.

2060-1 MINIMUM PARTICIPATION MET

When Eligibility Staff identify a child care facility was in compliance for any of the five (5) months under review, they will document the findings in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG 5th Month Review Met. A copy of the case note is placed in the Accounting physical mail box for updating the Child Care Grant (CCG) Payment Tracking Spreadsheet.

2060-2 MINIMUM PARTICIPATION NOT MET

When the Eligibility Staff's review determines the facility has not met the minimum participation requirement of five percent (5%) or one (1) child, they will notify the facility and take action depending on the number of months not in compliance.

2060-2 A. FIFTH MONTH REVIEW – NOT MET

When the review of the child care facility's compliance shows only the five (5) sequential months identified by the Accounting Staff to not have met the minimum participation requirement, Eligibility Staff will:

1. Issue a *Child Care Grant Program – Minimum Participation Not Met* notice to the participating child care facility. This notice is to be sent by regular mail to the facility. A copy is placed in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet.

The *Child Care Grant Program – Minimum Participation Not Met* notice includes:

- a. The timeframes and participation requirement(s) not met;
- b. The month program participation ends;
- c. The requirements needing met to resume participation;
- d. *Request for Administrative Review* CC35 form with due date for submission; and
- e. *Request for Good Cause Waiver* CC33 form, if applicable, with due date for submission using the Adverse Action Calendar;

2. Document the action in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG - Minimum Part Req Not Met.; and
3. Track the facility's next month submission. The sixth (6th) month's submission with or without meeting the minimum participation requirements is processed for payment as normal.

2060-2 B. SIXTH MONTH REVIEW

1. When a facility meets the minimum participation requirement in the sixth (6th) month, Eligibility Staff document in an ICCIS case note using subject heading: CCG Min Part Met. If the facility submitted and was approved for a Good Cause Waiver see section 2060-3 Good Cause Waiver Received.
2. When the facility has not met the minimum participation requirement in the sixth (6th) consecutive month, and a *Request for Good Cause Waiver* was not approved, Eligibility staff will:
 - a. End the facility's participation effective the last day of the sixth (6th) month; and
 - b. Issue a *Child Care Grant Program– Closed* notice to the participating child care facility and document the action in an ICCIS case note using subject heading: CCG - Closed. A copy of the notice is placed in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet.

2060-3 GOOD CAUSE WAIVER RECEIVED

A participating child care facility may submit a *Request for Good Cause Waiver* CC33 form within fifteen (15) calendar days after receiving a *Child Care Grant Program– Minimum Participation Not Met* notice.

2060-3 A. CRITERIA FOR A GOOD CAUSE WAIVER

The criteria for a Child Care Grant Program (CCG) good cause waiver include either of the following:

1. Within the community, the number of children participating in the State of Alaska Child Care Assistance Program (CCAP) is smaller than the number of spaces required under this section for each participating child care facility; or

2. Would prevent a disruption in the continuity of care for children who have been in care at the child care facility for more than a year. This criterion ensures that a child already in care will not be displaced.

2060-3 B. PROCESSING A REQUEST FOR GOOD CAUSE WAIVER

If a *Request for Good Cause Waiver* CC33 form is received, Eligibility Staff enter the receipt of the request in the CCG Program Tracking Spreadsheet and in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG Request for Good Cause Waiver Rcvd. Eligibility Staff determines if the participating child care facility meets one (1) or both of the criteria to receive a waiver. See section 2060-3 A., Criteria for a Good Cause Waiver.

Further information may be obtained by researching the Child Care Program Office (CCPO) website:
<http://dhss.alaska.gov/dpa/Pages/ccare/default.aspx> under “Find a Child Care Provider,” viewing CCPO monthly statistical reports and consulting with the CCAP Designee for the facility’s community and Child Care Licensing.

Eligibility Staff will document in an ICCIS case note using subject heading: CCG Request for Good Cause Waiver Approved or CCG Request for Good Cause Waiver Denied, their review, determination and notice sent to the child care facility.

1. Good Cause Criteria Met:

If the participating child care facility meets the criteria for a Good Cause Waiver Eligibility Staff will:

- a. Grant a waiver for the next consecutive six (6) month period;
- b. Update the CCG Program Tracking spreadsheet reflecting the approved timeframe;
- c. Issue a *Child Care Grant Program Request for Good Cause Waiver - Approved* notice to the facility stating their waiver timeframe, with a *Request for Administrative Review* CC35 form enclosed;
- d. Place a copy in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet;
- e. Document in an ICCIS case note using subject heading: CCG Request for Good Cause Waiver Approved identifying the approval effective dates and notice sent; and
- f. Recheck the CCG box in the ICCIS Application screen.

2. Good Cause Criteria Not Met:

If the participating child care facility does not meet the criteria for a Good Cause Waiver, Eligibility Staff denies the request, ends the facility's CCG participation and will:

- a. Issue a *Child Care Grant Program Request for Good Cause Waiver - Denied* notice, to the facility with a *Request for Administrative Review* CC35 form enclosed. The notice states why the criteria were not met;
- b. Issue a *Child Care Grant Program- Closed* to the facility with a *Request for Administrative Review* CC35 form enclosed. The notice states why the facility's participation is ended and that the facility may re-apply once all requirements are met;
- c. Update the CCG Program Tracking Spreadsheet with the determination;
- d. Document in an ICCIS case note using subject heading: CCG Good Cause Waiver Denied notice sent; and
- e. Uncheck the CCG box in the ICCIS Application Screen.

If the child care facility disagrees with the good cause waiver determination, they may submit a *Request for Administrative Review* CC35 to the CCPO within fifteen (15) calendar days of receiving the determination. See section 2080, Child Care Grant Program Request for Administrative Review.

2060-3 C. MONITORING A GOOD CAUSE WAIVER

When a child care facility has been granted a Good Cause Waiver, Eligibility Staff must monitor the facility's submissions for the approved timeframe. When the facility has not met the minimum participation requirement by the fifth (5th) month, the Eligibility Staff will end the facility's CCG participation the last day of the sixth (6th) month.

1. Minimum Participation Met:

When the facility has met the minimum participation requirement during any month of the approved Good Cause Waiver timeframe, Eligibility Staff will:

- a. Issue a *Child Care Grant Program Good Cause Waiver – Rescinded* notice to the facility advising the Good Cause Waiver is no longer needed;
- b. Place a copy in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet;
- c. Update the CCG Program Tracking Spreadsheet; and

- d. Document in an ICCIS case note using subject heading: CCG Good Cause Waiver Rescinded and notice sent.

2. Minimum Participation Not Met:

When the facility has not met the minimum participation requirement by the fifth (5th) month of the Good Cause Waiver approved timeframe, Eligibility Staff will:

- a. Issue a *Child Care Grant Program Good Cause Waiver - Ending* notice to the facility to notify them the Good Cause Waiver is ending, with *Request for Administrative Review CC35* and *Request for Good Cause Waiver CC33* forms enclosed;
- b. Issue a *Child Care Grant Program – Closed* notice to the facility with a *Request for Administrative Review CC35* form enclosed. The notice states why the facility’s participation is ended and that the facility may re-apply once all requirements are met;
- c. Place copies of both notices in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet;
- d. Update the CCG Program Tracking Spreadsheet;
- e. Uncheck the CCG box in the ICCIS Application Screen;
- f. Document in ICCIS case notes using subject headings: CCG Good Cause Waiver Ending; and CCG Closed and notices sent; and
- g. Move the facility’s information to the Closures tab of the CCG Program Tracking Spreadsheet.

2060-4

**PROGRAM REINSTATEMENT AFTER CLOSURE
DUE TO MINIMUM PARTICIPATION NOT MET**

A child care facility may apply for reinstatement of participation in the Child Care Grant Program (CCG) once they meet the minimum participation requirements.

2060-4 A.

**ELIGIBILITY STAFF REVIEW FOR PROGRAM
REINSTATEMENT**

If the child care facility applies for reinstatement after a closure due to not meeting the minimum participation requirements, Eligibility staff will review the Integrated Child Care Information System (ICCIS) and/or consult with the Office of Children Services (OCS) to ensure five percent (5%) or one (1) child, whichever is greater, in care at the child care facility have been issued a State of Alaska *Child Care Authorization* document.

Eligibility Staff will also confirm the child care facility is still in compliance with all other participation requirements as outlined in section 2010, Child Care Grant Participation.

2060-4 B. ELIGIBILITY STAFF ACTIONS FOR PROVISIONAL PROGRAM REINSTATEMENT

If all participation requirements are met, Eligibility Staff will provisionally reinstate the child care facility for one (1) month pending verification of meeting the minimum participation requirement, and will:

1. Issue a *Child Care Grant Program Reinstatement Provisionally Approved* notice to the facility with the new effective date for *Child Care Grant Reimbursement Request CC15* and *Attendance Report CC14* submissions;
2. Check the CCG box on the ICCIS Application screen;
3. Document the action in an ICCIS case note using subject heading: CCG Provisionally Reinstated identifying the reinstatement effective date and notice sent;
4. Issue the facility a *Child Care Grant Program Good Cause Waiver – Rescinded* notice, if applicable, as the facility must again be in compliance with the CCG to be reinstated;
5. Place a copy of the *Child Care Grant Program Reinstatement Provisionally Approved* and/or *Child Care Grant Program Good Cause Waiver – Rescinded* notice, as applicable, in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet.

2060-4 C. STAFF ACTIONS FOR PROGRAM PARTICIPATION AFTER PROVISIONAL REINSTATEMENT

When a facility who has been provisionally reinstated submits *Child Care Grant Reimbursement Request CC15* and *Attendance Report CC14* the first time after the effective date of the reinstatement, they must meet the minimum participation rate in order to receive reimbursement for that month.

1. Minimum Participation Met

When the facility meets the minimum participation requirement, Eligibility Staff will:

- a. Issue a *Child Care Grant Program Reinstatement Approved* notice to the facility with the new effective date for *Child Care Grant Reimbursement Request CC15* and *Attendance Report CC14* submissions;
- b. Document the action in an ICCIS case note using subject heading: CCG Reinstated identifying the reinstatement effective date and notice sent;
- c. Place a copy in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet; and
- d. Update the CCG Program Tracking Spreadsheet.

2. Minimum Participation Not Met

When the facility has not met the minimum participation requirement, Accounting Staff will notify the Eligibility staff who will:

- a. End the facility's participation effective the last day of the month prior to the provisional reinstatement, and
- b. Issue a *Child Care Grant Program– Closed* notice to the child care facility and document the action in an ICCIS case note using subject heading: CCG – Closed. A copy of the notice is placed in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet.

2060-5

NON-PARTICIPATING CHILD CARE FACILITIES

If a child care facility does not submit any *Child Care Grant Reimbursement Request CC15* and *Attendance CC14* form(s) for six sequential months during their program participation period, they are considered to be a non-participating child care facility.

Accounting Staff will document non-submission months in the CCG Payment Tracking Spreadsheet. Upon the sixth (6th) sequential month of non-submission, Accounting Staff will document in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG 6th month No Submission. The body of the case note will contain the months of non-submission. Accounting Staff will print the case note and place it in the Eligibility Staff's mailbox.

Eligibility Staff will take the following steps:

1. Issue a *Child Care Grant Program - Closed* notice advising the child care facility they are being removed from the Child Care Grant Program (CCG) but may re-apply at any time;
2. Uncheck the CCG box in the Integrated Child Care Information System (ICCIS) Application screen;
3. Document in an ICCIS case note the actions taken using subject heading: CCG Closed;
4. Move the facility's information to the Closures Tab of the CCG Program Tracking Spreadsheet, and
5. A copy of the *Child Care Grant Program- Closed* notice is placed in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet.

If a child care facility submits a *Request for Administrative Review* CC35, see section 2080, Child Care Grant Program Request for Administrative Review.

2070

INCORRECT PAYMENTS OF CHILD CARE GRANT PROGRAM FUNDS

This chapter references Alaska Administrative Code (AAC) 7 AAC 39.055.

An incorrect payment occurs when a child care facility receives payment which they were not entitled to receive or was not calculated or paid correctly. If there is reason to believe an incorrect payment of Child Care Grant Program (CCG) funds has occurred, the Eligibility and Benefits Public Assistance Analyst (PAA) I Staff will conduct a review of the participating child care facility's CCG records to determine if an overpayment or an underpayment occurred.

2070-1

INCORRECT PAYMENT PRELIMINARY REVIEW FORM

Within five (5) business days of discovering a possible incorrect payment the Child Care Program Office (CCPO) Accounting Staff or Eligibility Staff will submit to their supervisor, a completed *Incorrect Payment Preliminary Review Form* CC17, which includes the month(s) the error occurred; the cause of the error; a recalculation of the

payment to the provider and copies of all supporting documentation to include screen prints from the Integrated Resource Information System (IRIS) as applicable.

Within two (2) business days, the supervisor will review the submission and if in disagreement return it to the worker for corrective action as needed. When in agreement with the Incorrect Payment determination, the supervisor will sign the *Incorrect Payment Preliminary Review Form CC17* and submit the form and all supporting documentation to the Public Assistance Analyst's physical mailbox.

2070-1 A. INCORRECT PAYMENT PRELIMINARY REVIEW FORM SUBMISSION

The same or next day following receipt of an *Incorrect Payment Preliminary Review Form CC17* the submission is documented and assigned for review.

1. Eligibility and Benefits Staff will:

- a. Enter the Incorrect Payment (IP) information in the spreadsheet for the applicable fiscal year;
- b. Document receipt of the IP in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG IP Rcvd. The body of the case note will include the identified error;
- c. Create an electronic folder within the fiscal year's folder by the Facility Name (or provider Last, First name if no facility name);
- d. Scan and save the *Incorrect Payment Preliminary Review Form CC17* and all documentation submitted with it in the folder;
- e. Create a manila file using the same naming format as identified in c above;
- f. Place the hard copy of the *Incorrect Payment Preliminary Review Form CC17* and all documentation submitted with it in the manila folder; and
- g. Place the manila folder in the assigned CCPO PAA I's mailbox.

2. Assigned Public Assistance Analyst (PAA) I will:

Determine what, if any additional information is needed and request it from the applicable Designee maintaining the provider's Child Care Assistance Program (CCAP) file and or from the CCPO's Child Care Grant Program (CCG) file.

2070-1 B. CONDUCTING AN INCORRECT PAYMENT REVIEW

Within thirty (30) calendar days of receiving the *Incorrect Payment Preliminary Review* CC17 form, the Eligibility and Benefits Staff will:

1. Conduct a Fact Finding Review

The timeframe to include, when determining an overpayment, as appropriate, is twelve (12) months prior to the month the overpayment was discovered. The assigned CCPO PAA I will conduct a thorough review that may include but is not limited to: review of regulation and policy related to the cause of the error; review of State of Alaska and contracted databases; and review of the family, provider, Designee, or department records.

Review of the Eligibility Information System (EIS) or Alaska's Resource for Integrated Eligibility Services (ARIES) and/or the Case Management System (CMS), if applicable, is conducted to determine if the provider is receiving other benefits from the Division of Public Assistance (DPA) and reported the information or change to another program;

2. Conduct Interviews

Contacting the child care provider, family(ies), or other third (3rd) party may be necessary to clear up discrepancies or obtain additional information. If the PAA I determines an announced or unannounced inspection of the provider is warranted, they will coordinate the visit with the regional Licensing Supervisor;

3. Scan and save all documentation received or printed that was used as part of the review;

4. Make a determination regarding the incorrect payment of:

a. IP With Merit – Not Pursued

A determination of IP with merit – not pursued is made when facts of the review reveal the total amount of an overpayment is \$99.99 or less;

- b. IP With Merit – Pursued
A determination of IP with merit – pursued is made when facts of the review reveal an underpayment of any amount or the total amount of an overpayment is \$100.00 or more; or
- c. IP Without Merit – Not Pursued
A determination of IP without merit – not pursued is made when facts of the review identify the provider reported information to another DPA program; or the identification of an error was not correct;

- 5. Update all applicable tracking spreadsheets;
- 6. Issue notification or refer to the Benefits Issuance and Recovery Unit (BIRU) as applicable; and
- 7. Enter a case note in ICCIS documenting the findings.

If the child care facility refuses to cooperate at any level of the review the applicable sanction may be imposed. See section 2090-1 A. Sanction Reasons and Suspension Timeframes.

2070-1 C. INCORRECT PAYMENT REVIEW DETERMINATION

The timeframe to include, when determining an overpayment, as appropriate, is twelve (12) months prior to the month the overpayment was discovered.

The CCPO PAA I will make a determination regarding the IP within thirty (30) days of receiving the *Incorrect Payment Preliminary Review Form* CC17. The PAA I will:

- 1. Document in an ICCIS case note using the standardized template;
- 2. Update the applicable fiscal year’s IP Excel tracking spreadsheet in the CCPO shared drive;
- 3. Copy the information into the Combined Claim Tracking spreadsheet if an IP is being pursued;
- 4. Email the determination to the CCPO Accounting Lead, or CCPO Public Assistance Analyst (PAA) II, as applicable with any technical assistance identified during the review;

5. Submit an overpayment claim to the BIRU; and
6. Shred the contents of the manila file after ninety (90) days.

2070-2 INCORRECT PAYMENT OF CHILD CARE GRANT PROGRAM FUNDS

When the Child Care Program Office (CCPO) Eligibility and Benefits, Public Assistance Analyst (PAA) I determines an overpayment to a provider totaling \$100.00 or more for all of the months included in the review has occurred, regardless of the cause, they will document their findings in an Integrated Child Care Information System (ICCIS) case note.

Underpayments of any amount are repaid as long as the provider's Vendor Customer Number (VCN) is still active in the Integrated Resource Information System (IRIS).

If it is determined the overpayment was due to an intentional act to withhold or provide false information the CCPO will take action to impose the applicable sanction. See section 2090 Child Care Grant Sanctions and How to Impose.

2070-2 A. OVERPAYMENT NOT PURSUED

If the overpayment is \$99.99 or less, the PAA I will document the details in an ICCIS case note using subject heading: IP with Merit-Not Pursued and will not take action to recoup the overpayment. The detailed case note will include the re-calculation of the payment amount, if applicable, the month the incorrect payment occurred, and the corrective action required and taken, if any.

2070-2 B. PURSUING OVERPAYMENT

The Division of Public Assistance (DPA) Benefit Issuance and Recovery Unit (BIRU) is responsible for collection actions regarding all overpayments. Collection actions include issuing notice of the overpayment to the provider, entering into a repayment plan, processing payments made, updating the spreadsheet, and notifying the CCPO when an overpayment has been paid in full.

1. The CCPO PAA I will:

When an overpayment totaling \$100.00 or more is determined, the PAA I will:

- a. Document the review findings in an ICCIS case note using subject heading: CCG IP With Merit – Claim Submitted. The body of the case note includes the date the *Incorrect Payment Preliminary Review Form CC17* was submitted, a synopsis of the findings, and a break down by month of the overpayment with the total amount due;
- b. Complete and submit the *Child Care Claims Referral* to the BIRU by accessing their share point site;
- c. Save a copy of the completed referral in the electronic Incorrect Payment (IP) folder in the CCPO shared drive;
- d. Update the fiscal year’s IP tracking spreadsheet;
- e. Copy the information into the Combined Claim Tracking spreadsheet;
- f. Provide the CCPO Accounting Lead and Program Coordinator II any needed technical assistance identified during the review;
- g. Monitor the BIRU share point site for the issuance of a *BIRU Child Care Grant Program Notice of Overpayment* and once issued, save a copy in the electronic folder, and update the Combined Claim Tracking spreadsheet;
- h. Monitor the BIRU share point site for a repayment plan and payment(s) from the provider;
- i. Monitor the BIRU share point site for the issuance of a *Paid in Full Notice* to the provider. Once issued document in an ICCIS case note when it is identified the overpayment has been repaid. Scan and save a copy of the notice in the IP folder; and
- j. Update the applicable fiscal year’s IP tracking spreadsheet and once paid in full remove the provider’s information from the Combined Claim Tracking spreadsheet.

2. The BIRU will:

- a. Upload all *Child Care Claims Referral* forms submitted through the share point site;

- b. Create an electronic folder for each client;
- c. Enter the client's information on the CCPO Payment List;
- d. Issue a *BIRU Child Care Grant Program Notice of Overpayment* to the client identifying the overpayment amount and reason, requesting a repayment plan, and advising of the right to request an Administrative Review;
- e. Work with the provider to establish monthly payments to allow for the sum of the overpayment to be fully repaid as quickly as is reasonable and within three (3) years and document the agreement. Any changes to an established repayment agreement are made between the provider and the BIRU, documented and a new signed agreement uploaded to the provider's file in the Share point site;
- f. Receive and document all payments received; and
- g. Issue a *Paid in Full Notice* when the overpayment has been satisfied.

2070-3

UNDERPAYMENT OF FUNDS

The timeframe to include, when determining an underpayment, as appropriate, is twelve (12) months prior to the month the underpayment was discovered. There is no minimum amount for an underpayment.

When an incorrect payment identifying an underpayment is determined, the Public Assistance Analyst (PAA) I will document the basis for the determination in an Integrated Child Care Information System (ICCIS) case note using subject heading: IP with Merit - Underpayment. The PAA I will place a copy of the case note in the Accounting physical mail box. If the facility is no longer participating in the Child Care Grant Program (CCG), the PAA I will coordinate with Child Care Program Office (CCPO) Accounting Staff to ensure the Vendor Customer Number (VCN) in ICCIS and the VCN in the Integrated Resource Information System (IRIS) are still active for payment processing.

The CCPO Accounting Staff will notify the Division of Public Assistance (DPA) Administrative Officer, via email, of the needed correction in

IRIS and monitor for completion. Upon completion of the adjusted payment, Accounting Staff send a *Child Care Grant Payment – Adjusted* notice identifying the error, amount, and date the corresponding payment was processed in the IRIS and document in an ICCIS case note.

2070-4

RECOUPMENT OF AN OVERPAYMENT

The Child Care Program Office (CCPO) Eligibility and Benefits Staff will notify the Benefit Issuance and Recovery Unit (BIRU) if a provider requests an Administrative Review regarding an overpayment determination.

If an Administrative Review decision overturns the overpayment determination, the CCPO Eligibility and Benefits Staff will forward a copy of the final decision to the BIRU and request the claim against the provider to be voided.

The BIRU will save a copy of the final decision in the provider's file and update their tracking spreadsheet. The CCPO Eligibility and Benefits Staff will issue an *Overpayment Rescinded Notice* to the family or provider, update the fiscal year's Incorrect Payment (IP) tracking spreadsheet and remove the provider's information from the Combined Claim Tracking spreadsheet.

When an Administrative Review is not requested, or the final decision upholds the overpayment determination collection actions will continue.

1. The BIRU will:

- a. Negotiate with the provider to establish a reasonable amount of monthly payments to allow for a realistic timeframe for the sum of the overpayment to be fully repaid and document the agreement;
- b. Maintain a copy of all notices issued to the provider in the Share Point site;
- c. Receive and process all payments received from the provider;
- d. Maintain payment tracking in the claims spreadsheet in the Share Point site; and
- e. Issue a *Paid in Full Notice* when the overpayment has been satisfied
- f. Notify CCPO

2. The CCPO Eligibility and Benefits Staff will:

- a. Monitor the BIRU tracking spreadsheet in the Share Point site;
- b. Reconcile the Combined Claim Tracking spreadsheet with the BIRU tracking spreadsheet; and making payments agreed to.

If the provider does not set up a repayment agreement, or stops paying the amount owed, the BIRU will pursue collections of the overpayment by garnishing the providers Permanent Fund Dividend.

2080

CHILD CARE GRANT PROGRAM REQUEST FOR ADMINISTRATIVE REVIEW

This chapter references Alaska Administrative Code (AAC) 7 AAC 39.800 and 7 AAC 39.810.

When a child care facility does not agree with a determination made regarding Child Care Grant Program (CCG) participation or payment, they may request an Administrative Review by submitting a *Request for Administrative Review* CC35 form to the Child Care Program Office. The *Request for Administrative Review* CC35 form must be provided with each notice sent.

2080-1

REQUEST FOR ADMINISTRATIVE REVIEW SUBMISSION

A *Request for Administrative Review* CC35 must be hand-delivered, faxed or sent by other electronic means by the child care facility or mailed with a postmark no later than fifteen (15) calendar days after receipt of the written determination to the Child Care Program Office (CCPO).

The following information is to be provided by the child care facility when submitting the *Request for Administrative Review* CC35:

1. A copy of the written notice of determination for which the Administrative Review is requested;
2. An itemized list of each alleged violation of a statute or regulation upon which the request is based;
3. Factual arguments supporting the facility's allegations;
4. The specific relief sought; and
5. Signature of requestor and date signed.

ADMINISTRATIVE REVIEW DECISION PROCESSING

1. When a *Request for Administrative Review* CC35 is received disputing a determination made, the Public Assistance Analyst (PAA) I will conduct the Administrative Review. The PAA I assigned to the physical mailbox will:
 - a. Enter receipt of the *Request for Administrative Review* CC35 in the applicable state fiscal year's Child Care Grant Program (CCG) Administrative Review Tracking Spreadsheet;
 - b. Create an electronic case file within the Appeals and Hearing Request, Administrative Reviews Responses, Admin Reviews fiscal year's folder in the CCPO shared with a format using the Facility's Name and Administrative Review Number;
 - c. Enter a case note in the provider's case in the Integrated Child Care Information System (ICCIS) using subject heading: CCG Admin Review Request Rcvd MM/DD/YYYY;
 - d. Scan all documents to the electronic folder; and
 - e. Create a manila file and forward it to the assigned CCPO PAA I identified from the tracking spreadsheet.
2. The assigned PAA I will:
 - a. Review each *Request for Administrative Review* CC35 and contact the requestor for any information not provided with the request or for additional information;
 - b. Conduct a thorough review of the issue and evaluate information from ICCIS, the Office of Children Services (OCS), the Child Care Food Program, licensing records, the child care facility and staff, and/or any other available sources, as applicable to make a decision;
 - c. Issue an Administrative Review Decision letter to approve or deny the request within fifteen (15) calendar days of receiving the *Request for Administrative Review* CC35 which includes the right to appeal the decision to the director of the Division of Public Assistance (DPA) within fifteen (15) calendar days after receiving the decision;
 - d. Mail the Administrative Review Decision letter, certified with return receipt requested and by regular mail to the child care

facility;

- e. Provide a copy of the Administrative Review Decision letter to the Eligibility Staff and/or Accounting Staff for the necessary corrective action;
- f. Document the determination and actions taken in an ICCIS case note using subject heading: Administrative Review Decision; and
- g. Maintain the decision in the electronic Administrative Review file.

2080-3 ADMINISTRATIVE REVIEW DECISION ACTIONS

When an Administrative Review decision determines corrective action is needed the decision is forwarded to the Child Care Program Office (CCPO) Accounting Staff for underpayment related actions or the CCPO Eligibility Staff for any other corrective action.

2080-3 A. PAYMENT RELATED ACTIONS FOR ADMINISTRATIVE REVIEW DECISIONS

When Accounting Staff receives a copy of the Administrative Review Decision letter requiring underpayment related action(s), the following steps will be taken:

1. Attach the copy of the Administrative Review Decision letter and any supporting documentation to that month's *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms;
2. Forward the documentation to the Division of Public Assistance (DPA) Administrative Officer for payment processing. See section 2030, Child Care Grant Payment Processing-Accounting Staff;
3. Update the appropriate state fiscal year Child Care Grant Program (CCG) Payment Tracking Spreadsheet; and
4. Document all underpayment related actions completed in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG AR Decision – Action Completed-ACCT.

2080- 3 B. OTHER ELIGIBILITY ACTIONS FOR ADMINISTRATIVE REVIEW DECISIONS

When Eligibility Staff receives a copy of the Administrative Review Decision letter requiring other eligibility related action(s), the following steps will be taken:

1. Issue a *Child Care Grant Program– Corrective Action* notice describing the action taken and send to the child care facility;
2. Retain both the *Administrative Review Decision and Child Care Grant Program – Corrective Action* notice, with any supporting documentation, in the child care facility’s CCG administrative case file;
3. Update the CCG Program Tracking Spreadsheet, if applicable; and
4. Document all the other eligibility related actions in an ICCIS case note using subject heading: CCG AR Decision – Action Completed-ET.

2090 CHILD CARE GRANT PROGRAM SANCTIONS AND HOW TO IMPOSE

This chapter references Alaska Administrative Code (AAC) 7 AAC 39.045 and 7 AAC 39.060.

A child care facility may be subject to sanctions, including suspension and termination, from the Child Care Grant (CCG) Program for certain program violations. A thorough investigation must be conducted to determine if a child care facility has intentionally violated program requirements.

Eligibility Staff and/or Public Assistance Analysts will discuss any potential violation with their supervisor before determining an intentional program violation has occurred and imposing a sanction.

When an investigation results in more than one program violation the highest sanction level is to be applied.

2090-1 SANCTION REASONS AND SUSPENSION TIMEFRAMES

Sanction reasons and suspension timeframes for a child care facility's first investigation include:

1. Failing to maintain records concerning the Child Care Grant Program (CCG). Suspension Timeframe: two (2) months;
2. Failing to submit a complete and timely response to a monitoring report or to achieve compliance in accordance with that response. Suspension Timeframe: three (3) months;
3. Failing to comply with requirements related to allowable expenditures. Suspension Timeframe: four (4) months;
4. Providing false or misleading information or withholding information in order to participate or receive CCG funds. This may be considered an intentional program violation. Suspension Timeframe: six (6) months;
5. Failing to cooperate with a review or investigation by the department, including a refusal to allow inspection of the child care facility and its records during scheduled business hours for purposes of determining whether there has been a CCG violation. This may be considered an intentional program violation. Suspension Timeframe: six (6) months; or
6. Falsifying attendance records to reflect higher amounts of time that a child was in care than actually occurred. This may be considered an intentional program violation. Suspension Timeframe: six (6) months.

2090-2

SANCTION REASONS THAT RESULT IN PROGRAM TERMINATION

Intentional program violations that may result in a child care facility's termination include:

1. Any investigation resulting in a finding the child care facility claimed attendance for a child who is not enrolled in care in their facility; or
2. A second investigation of a child care facility resulting in one or more CCG intentional program violations.

2090-3

IMPOSING A SANCTION

A child care facility may be subject to sanctions, including suspension and termination, from the Child Care Grant (CCG) Program for certain program violations. A thorough investigation must be conducted to determine if a child care facility has intentionally violated program requirements.

2090-3 A. IMPOSING A SANCTION – ELIGIBILITY STAFF

Eligibility Staff must notify the child care facility of the determination a Child Care Grant Program (CCG) violation occurred prior to imposing a sanction. The *Child Care Grant Sanction – Imposed* notice will include:

1. The basis for the determination, the specific program requirement violated including rationale supporting it was intentional;
2. The sanction the Child Care Program Office (CCPO) will take, and the effective date and length for the sanction;
3. The child care facility's right to a request an Administrative Review; and
4. *Request for Administrative Review* CC35 form.

Eligibility Staff will document the determination in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG Sanction Imposed, uncheck the CCG box on the Application screen and mail the determination to the child care facility via certified, return receipt requested and by regular mail.

Eligibility Staff will update the CCG Program Tracking Spreadsheet and place a copy of the *Child Care Grant – Sanction Imposed* notice in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet. The sanction is effective the first of the month following a fifteen (15) calendar day period to allow the child care facility to request an administrative review.

2090-3 B. IMPOSING A SANCTION – ACCOUNTING STAFF

Accounting Staff will hold the determination in the Accounting pend rack and review ICCIS case notes, Administrative Review Tracking spreadsheet and CCG Payment Tracking Spreadsheet prior to processing any CCG payments for the child care facility. *Child Care Grant Reimbursement Requests* will not be processed for payment

when received in the month in which the sanction becomes effective.

Example: *A two (2) month sanction which is effective December 1 would result in CCG reimbursement ineligibility for the report months of November and December. Prior report months resubmitted in December due to corrections needed or submitted late due to an Administrative Review or hearing decision, will be processed for payment. Any child care facilities who also have an outstanding overpayment will be processed according to section 2070 Incorrect Payments of Child Care Grant Funds.*

1. When a child care facility submits a *Request for Administrative Review* CC35 form the sanction imposition is held pending the Administrative Review decision. Upon receipt of an Administrative Review decision upholding the sanction determination the Accounting Staff will impose the sanction.
2. When the Administrative Review decision overturns the sanction determination, Eligibility Staff will take necessary actions to reinstate the child care facility's eligibility for participation. See section 2090-3, *Rescinding a Child Care Grant Sanction Prior to Imposition*.
3. A child care facility that has been under sanction may not bill for CCG funds during the suspension period or after termination.

2090-4

RESCINDING A SANCTION PRIOR TO IMPOSITION

A child care facility's Child Care Grant (CCG) participation will be reinstated if any of the following occur: when they submit the required information; otherwise come into compliance; or an Administrative Review or division director's written decision overturns the sanction determination.

Eligibility Staff will send a *Child Care Grant – Sanction Rescinded* notice which includes:

1. Reinstatement and rationale;
2. Status of any *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms being held for processing;
3. Ability to submit *Child Care Grant Reimbursement Request* CC15 and *Attendance Report* CC14 forms for payment for prior report months not previously allowed; and

4. Deadline for submission of prior report months identified.

A copy of the *Child Care Grant – Sanction Rescinded* notice is placed in the Accounting physical mail box for updating the CCG Payment Tracking Spreadsheet.

Eligibility Staff will update the CCG Program Tracking Spreadsheet, recheck the CCG box in the Integrated Child Care Information System (ICCIS) Application screen and enter a case note detailing the reinstatement using subject heading: CCG Sanction Rescinded.

2090-5

REINSTATEMENT AFTER A SANCTION

To be determined eligible to participate, a child care facility who has been suspended from participation in the Child Care Grant Program (CCG) must:

1. Apply for reinstatement;
2. Meet any identified requirement not met which caused the suspension; and
3. Be determined eligible to participate.

See section 2010-1, Application Process.

When an Administrative Review decision overturns the sanction determination, Eligibility Staff will take necessary actions to reinstate the child care facility's eligibility for participation. See section 2090-3, Rescinding a Sanction Prior to Imposition.

A child care facility who has been terminated from participation in the CCG may not reapply.

If a child care facility's participation in the CCG is terminated due to an intentional program violation, all unexpended CCG funds must be returned to the department. See section 2070-2, Overpayment of Funds.

2100

CHILD CARE GRANT PROGRAM RECORDS RETENTION AND CASE FILE MANAGEMENT

This chapter references Alaska Administrative Code (AAC) 7 AAC

39.070 and General Administrative Records Retention Schedule - #100.2 – Grant Management Records found at: http://archives.alaska.gov/records_management/records_management.html.

This chapter details the steps for retention of Child Care Grant (CCG) records and case file management.

2100-1 FACILITY RECORDS RETENTION

Child care facilities must retain Child Care Grant Program (CCG) records for a minimum of three (3) years from the state fiscal year each record was created. Records include:

1. Copies of *Child Care Grant Reimbursement Requests* CC15 forms submitted to the Child Care Program Office (CCPO);
2. Copies of *Attendance Report* CC14 forms submitted to the CCPO;
3. Original receipts and/or records of disposition of all CCG funds paid or reimbursed to the child care facility; and
4. Other records relating to participation in the CCG.

These CCG records must be made available for review during the child care facility's normal business hours or at a time agreed to by the child care facility and the department.

2100-2 CHILD CARE PROGRAM OFFICE RECORDS RETENTION

The Child Care Program Office (CCPO) must retain Child Care Grant (CCG) billing and eligibility case files in the accordance with the Department of Health and Social Services Agency Records Retention and Disposition Schedule and the CCPO-specific Records Retention Schedule.

2100-2 A. RECORDS RETENTION - ACCOUNTING STAFF

The Accounting Staff maintains a child care facility billing file which includes documentation for all payment requests for all CCPO programs.

1. The child care facility's CCG reimbursement information includes:
 - a. The current fiscal year's *Child Care Grant Reimbursement Request* CC15 forms;
 - b. *Attendance Report* CC14 forms; and
 - c. Receipts and/or *Reimbursement Request for Staff Salaries and Benefits or Substitute Care* CC31 forms.
2. Reimbursement information is filed by the child care facility's Integrated Child Care Information System (ICCIS) identification number. The child care facility's billing file will be retained in accordance with the CCPO records retention schedule.

2100-2 B. RECORDS RETENTION - ELIGIBILITY STAFF

The Eligibility Staff will maintain the child care facility's CCG administrative, monitor, electronic CCG Administrative Review and incorrect payment files for facilities including all the supporting documentation and correspondence. They are filed alphabetically by the name of the child care facility then by the ICCIS number if there are multiple child care facilities with the same name. CCG files are retained for three (3) years after their CCG Program participation ends.

1. The CCG Administrative case file including applications, correspondence, copies of child care licenses, and any other information not relating to actual payment is maintained in the CCG active drawer. When a child care facility closes or is terminated from the CCG Program, the Eligibility Staff will move the CCG administrative file from the drawer containing active files to the closed drawer.
2. The Monitor file including the Monitor Report and all documentation supporting the determination will be maintained with the facility's administrative case file. When a child care facility closes or is terminated from the CCG, the Eligibility Staff will move the CCG monitor file from the drawer containing active files to the closed drawer.
3. The CCG Administrative Review file is electronic and filed by the facility name and review number within the fiscal year's folder the request was received and maintained in the shared drive.
4. The CCG incorrect payment file is electronic and filed by the facility name within the fiscal year's folder the request was received and maintained in the shared drive.

5. Closed CCG files are identified for destruction based on the CCPO retention schedule after the close of each fiscal year. Eligibility Staff will identify and pull closed CCG files for destruction after the end of the third (3rd) fiscal year following their CCG closure. A list is made of each file identified to be destroyed each fiscal year and is saved in the shared drive.

CHILD CARE GRANT ADDENDA



CHILD CARE PROGRAM OFFICE
 3601 C Street, Suite 140 ~ PO Box 241809
 Anchorage, AK 99524-1809
 Phone: (907) 289-4500 / Toll Free 1-888-268-4632

CHILD CARE GRANT PROGRAM RATE SCHEDULE Effective July 1, 2012

\$30.00	\$32.10	\$32.10	\$34.35	\$34.77	\$35.10	\$35.10	\$35.13	\$35.22	\$35.85	\$36.00	\$36.18
Anchorage Chuglak Eagle River Girdwood	Houston Palmer Sutton Taliakina Wasilla	Fairbanks North Pole	Douglas Juneau	Wrangell	Ketchikan	Valdez	Homer Kenai Ninilchik Selkvia Seward Soldotna Sterling	Sitka	Sitka	Haines	Craig
1.000	1.070	1.070	1.145	1.159	1.170	1.170	1.171	1.174	1.195	1.200	1.206
\$37.02	\$37.23	\$37.32	\$38.67	\$39.96	\$40.38	\$42.36	\$43.50	\$47.28	\$49.89	\$50.00	
Cordova	Delta Junction	Petersburg	Kodiak	Healy	Dillingham	Yakutat	Nome	Gustavus	Bethel	Barrow Kotzebue	
1.234	1.241	1.244	1.289	1.332	1.346	1.412	1.450	1.576	1.663	*	

The Child Care Grant Rate Schedule is determined by multiplying the base rate of \$30 by the school district cost factor for communities and it may not exceed \$50. The list of school district cost factors is located in AS 14.17.460. Communities listed with an * exceed the \$50 maximum.

This rate schedule reflects the locations of current licensed child care providers participating in the Child Care Grant. It will be revised as needed to reflect new grant participants in other communities.

Revised 01-2019