

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**

Effective January 1, 2014

CHILD CARE GRANT POLICY AND PROCEDURE MANUAL

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ADDENDUM 1

2000

CHILD CARE GRANT 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 OF THE CHILD CARE GRANT PROGRAM

2000-1 A.

CHILD CARE GRANT 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 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 Child Care Grant (CCG) Program. 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 Program, 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, through a grant which provides consumer education

and training to families and providers regarding quality early care and education.

2000-1 B. CHILD CARE GRANT PROGRAM PURPOSE

The purpose of the Child Care Grant (CCG) Program 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 Program 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 Program is not an entitlement program. Reimbursements are issued monthly to eligible child care facilities, as long as funding is available.

2000-2 CHILD CARE GRANT 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 (CCG) Program a child care facility must be:

1. Currently licensed as a child care facility by the State of Alaska, Department of Health and Social Services as a Child Care Home, Group Home or Center; or
2. Currently licensed as a child care facility by the Municipality of Anchorage, Department of Health and Human Services 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 Program 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 through the State of Alaska CCAP, within any six 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 RATE SCHEDULE

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

The Child Care Grant (CCG) Program 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. Alaska Statute 14.17.460 provides for an annual increase for each state fiscal year (FY) from 2009 through 2013. Funding for subsequent years will remain at the FY 2013 funding level until further notice. The Child Care Program Office 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

CHILD CARE GRANT WORK PROCESSES WITH TIMELINE GOAL FOR COMPLETION

The timeframes identified throughout this policy are the Child Care Program Office'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. CHILD CARE GRANT APPLICATION

Task	Staff	Timeline Goal for Completion
Provide information	CCPO Staff	Ongoing
Mail application	Administrative Staff	Within 1 business day of request
Receive, register 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
Maintain administrative case file	Eligibility Staff	Ongoing

2000-4 B. CHILD CARE GRANT MONTHLY SUBMISSIONS

Task	Staff	Timeline Goal for Completion
Receive and review reimbursement and attendance forms	Administrative Staff	Within 1 business day of date stamped received
Receive and resolve/return reimbursement forms identified incomplete or for clarification needed	Eligibility Staff	Within 2 business days of receipt from Administrative Staff
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 from CCPO Staff	Eligibility Staff	Within 5 business days of receipt or verification of demographic information from Licensing
Conduct random reviews	Eligibility Staff	Monthly

2000-4 C. CHILD CARE GRANT MONTHLY PAYMENTS

Task	Staff	Timeline Goal for Completion
Take action to deny payment	Accounting Staff	Within 5 business days of the notice due date requesting information
Input into billing spreadsheet and key payment	Accounting Staff	Within 10 business days of receipt
CCPO Certification of submissions	Accounting Staff	Within 1 business day of receipt from staff keying payments
Certify *AKSAS payments	**FMS	Not applicable to CCPO
Issue warrants	***DOA/DOF	Not applicable to CCPO
Maintain payment files	Accounting Staff	Ongoing

*Alaska Statewide Accounting System

**Financial Management Services

***Department of Administration/Division of Finance

2000-4 D. CHILD CARE GRANT ADMINISTRATIVE ACTIONS

Task	Staff	Timeline Goal for Completion
Saving for a future purchase or apply funds to a past purchase request	Eligibility Staff	Within 1 business day of receipt of request
Suspensions and Closures	Eligibility Staff	Ongoing
Good Cause Waivers	Eligibility Staff	Within 15 calendar days of receipt
Administrative Reviews	Eligibility Staff or Public Assistant Analyst	Within 15 calendar days of receipt
Record Monitor	Eligibility Staff	Within 30 calendar days of receipt
On-site Monitor	Licensing Staff	Within 30 calendar days of request
Incorrect Payments	Eligibility Staff or Public Assistant Analyst	Within 30 calendar days of receipt

2010

CHILD CARE GRANT PARTICIPATION

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

This chapter details the Child Care Grant (CCG) Application Process and Eligibility Maintenance requirements.

2010-1

CHILD CARE GRANT 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 Applications* from initial contact to a determination of approved or denied. This section references Alaska Administrative Code (AAC) 7 AAC 39.020.

2010-1 A.

CHILD CARE GRANT APPLICATION PROCESS - ADMINISTRATIVE STAFF

Administrative Staff perform the following steps within one 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 (CCG) Application Cover letter and *Child Care Grant Application* which includes the *Child Care Grant Terms & Conditions Agreement* to the child care facility;
- c. Search for the child care facility in the Integrated Child Care Information System (ICCIS);
- d. Enter the child care facility's ICCIS facility identification number; Pay Vendor Number (PVN); ICCIS Facility Name; the date the *Child Care Grant Application* was requested; and the date the *Child Care Grant Application* was mailed into 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;
- b. 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 stamp received date and list all of the documents received;
- c. Search for the child care facility in the CCG Program Tracking Spreadsheet.
 - If the child care facility information is found, enter the date the *Child Care Grant Application* was received.
 - If the facility information is not found, enter the child care facility's ICCIS facility identification number; PVN; ICCIS Facility Name; the date the *Child Care Grant Application* was requested; the date the *Child Care Grant Application* was mailed; and the date the *Child Care Grant Application* was received;
- d. Create the CCG administrative case file using a blue file folder with the following label format:
 - First Line: Child Care Facility Name
 - Second Line: PVN and ICCIS facility number
 - Third Line: Child Care Grant;
- e. Attach the *Child Care Grant Application* and all accompanying documents to the exterior of the blue file folder and place in the designated Eligibility Staff's mailbox; and
- f. Enter the date the *Child Care Grant Application* ICCIS case note was entered and the date the *Child Care Grant Application* was forwarded with the file to the Eligibility Staff in the CCG Program Tracking Spreadsheet.

2010-1 B.

CHILD CARE GRANT APPLICATION PROCESS - ELIGIBILITY STAFF

To apply for participation in the CCG Program an eligible child care facility must submit a *Child Care Grant Application*. Once the application is received with the CCG blue file folder, the Eligibility Staff will perform the following steps:

1. Review the *Child Care Grant Application* for signature by the facility's owner or administrator and for completeness and confirm information on the application matches the facility's information in ICCIS within one business day.

- a. If information matches ICCIS see step 2.
 - b. If information does not match ICCIS complete the following:
 - Call the Child Care Licensing Specialist designated on the ICCIS Facility Application Screen 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 2.
 - If confirmation is not received from the Child Care Licensing Specialist within two 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 6c.
2. 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.
 3. Review ICCIS Application screen within the Facility module to confirm the applicant is in Open/Active status and approved for participation in the State of Alaska Child Care Assistance Program (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.
 4. 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 PVN is issued and active. If an active PVN has not been issued, take the following steps:
 - a. Request from the Child Care Assistance Program grantee a completed *State of Alaska Substitute W9* form.
 - b. Upon receipt of the *State of Alaska Substitute W9* form submit to the Accounting unit via email to ccpo@alaska.gov using subject heading: PVN Request.
 5. 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 and PVN.

6. Determine the applicant's eligibility for participation and take appropriate action on the application, within five business days of receipt of the application or resolution of any discrepancies: pend, approve, or deny. Document action taken in ICCIS case notes using the following subject heading as applicable: CCG App Pended, CCG App Approved, CCG App Denied, and update the applicable portions of the CCG Program Tracking Spreadsheet.

a. Pend:

Applications received from a child care facility without an active PVN are pended. If the State of Alaska Substitute W9 form is not received from the CCAP grantee Eligibility Staff will issue the *Child Care Grant – 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. Approve:

The child care facility's CCG effective date is the first 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 Application – Approved* notice to include the following information and enclosures:

- Alaska Statewide Accounting System (AKSAS) PVN;
- ICCIS facility identification number;
- Effective date for CCG participation;
- Child care facility's Child Care Grant Geographic Rate;
- *Child Care Grant Rate Schedule*;
- *Child Care Grant Reimbursement Request* CC15 forms;
- *Child Care Grant Attendance Report* CC14 forms; and
- Example of *Child Care Grant Reimbursement Requests* CC15 and *Child Care Grant Attendance* CC14 forms.

c. Deny:

Applications received from a child care facility not approved for CCAP participation or without a valid child care license will be denied. Issue the *Child Care Grant Application – Denied* notice citing the specific reason(s) for the denial. The child care facility may reapply once they meet all the requirements.

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

2010-1 C. CHILD CARE GRANT 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 Application* 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 Application*.
2. Request a copy of the *Child Care Grant Application* 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 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 grantee and the CCPO via the general mailbox: CCPO@alaska.gov.

Note: *If a copy of the Child Care Grant Application is provided to verify 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 CHILD CARE GRANT ELIGIBILITY MAINTENANCE

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

2010-2 A. CHILD CARE GRANT CRITERIA TO MAINTAIN ELIGIBILITY

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

1. Maintain a current child care license issued by the State of Alaska Department of Health and Social Services or by the Municipality of Anchorage, Department of Health and Human Services;
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 child whichever is greater, who have been issued a Child Care Authorization document through the State of Alaska CCAP, within any six 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 Program funds solely for costs associated with maintaining the operation of their child care facility. See section 2040-1, Allowable Child Care Grant Expenditure Categories.

2010-2 B. CHILD CARE GRANT ELIGIBILITY NOT MAINTAINED

1. Eligibility Staff will end a child care facility's participation in the Child Care Grant (CCG) Program, update the CCG Program Tracking Spreadsheet and issue a *Child Care Grant – 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:
 - a. Maintained a current child care license issued by the State of Alaska Department of Health and Social Services or by the Municipality of Anchorage, Department of Health and Human Services; or
 - b. Maintained current approval status for participation in the State of Alaska Child Care Assistance Program (CCAP).

2. If the child care facility has not 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 month period, the Eligibility Staff will take the steps to suspend CCG participation as outlined in Section 2060, Child Care Grant Suspension of Payment Regarding Minimum Participation Not Met and update the CCG Program Tracking Spreadsheet.

2010-2 C. CHILD CARE GRANT CHANGES REPORTED

1. When a child care facility participating in the Child Care Grant (CCG) Program notifies any CCPO Staff of changes effecting the information in the Integrated Child Care Information System (ICCIS) the CCPO staff receiving the change will forward the information to the assigned Child Care Licensing Specialist and Licensing Supervisor for any necessary action.
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 Child Care Grant 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 Staff on discrepancy information;
 - b. Request a copy of the document(s) from Eligibility Staff 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 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 to the Regional CCAP grantee and the CCPO via the general mailbox: CCPO@alaska.gov, using subject heading: CCG App ICCIS Discrepancy Corrected.

***Note:** Any hard copy documentation provided by the Eligibility 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.*

2020

CHILD CARE GRANT SUBMISSIONS

Child Care Grant Reimbursement Request CC15 and Child Care Grant 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 Child Care Program Office (CCPO).

This chapter details the steps CCPO Administrative, Eligibility and Accounting Staff will take in the receipt and review of *Child Care Grant Reimbursement Request CC15 and Child Care Grant Attendance Report CC14* form submissions.

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

2020-1

CHILD CARE GRANT SUBMISSIONS – ADMINISTRATIVE STAFF

Administrative Staff receive all *Child Care Grant Reimbursement Request CC15 and Child Care Grant Attendance Report CC14* forms. Administrative Staff will date stamp each *Child Care Grant Reimbursement Request CC15 and Child Care Grant Attendance Report CC14* forms along with paperwork supporting their submission. Information received other than receipts, the *Child Care Grant Reimbursement for Staff Salaries and Benefits or Substitute Care* form 06-4031 and the *Child Care Grant Reimbursement Request CC15 and Child Care Grant Attendance Report CC14* forms is forwarded to the appropriate CCPO staff. The *Child Care Grant Reimbursement Request CC15 and Child Care Grant Attendance Report CC14* forms and receipts or the *Child Care Grant Reimbursement for Staff Salaries and Benefits or Substitute Care* form 06-4031 are stapled to the envelope, if

received by regular mail. Items received after the close of business via fax or drop box are retrieved the following business day and date stamped with that day's date.

Administrative Staff will flag any submission for a report month other than the current month and place in the Eligibility Staff's basket.

Administrative Staff will review all current month submissions of *Child Care Grant Reimbursement Request* CC15 and *Child Care Grant Attendance Report* CC14 forms for accuracy and completeness. Areas missing needed information or needing correction are highlighted.

1. *Child Care Grant Attendance Report* CC14 form Review for:

- a. Report Month/Year;
- b. Report Month on *Child Care Grant Attendance Report* CC14 form(s) conflicts with the report month on the *Child Care Grant Reimbursement Request* CC15 form;
- c. Each child's full first and last name documented in attendance;
- d. Child's Daily Total(s) matches the documented attendance by Row # to ensure it matches the Total FTEs calculation documented by the facility. The attendance documented is counted as:
 - "F" = 1
 - "P" = 0.5;
- e. Count the actual attendance documented for each day by numbered column (1 - 31) to ensure it matches the Daily Page Totals calculation documented by the facility;
- f. Confirm the total for the Daily Page Totals in the bottom row is the same as the Total FTE column on the right side for each *Child Care Grant Attendance Report* CC14 form page;
- g. Confirm the total number *Child Care Grant Attendance Report* CC14 form pages submitted as indicated by fax auto-numbering, page numbering by the facility or coversheet matches the number of pages received;
- h. Confirm the total number of children documented as enrolled from all pages of the *Child Care Grant Attendance Report* CC14

form matches the Total Children in care entered on line 9 of the *Child Care Grant Reimbursement Request* CC15 form.

Note: *Corrections or changes to the errors in d or e above may result in needed corrections in the individual Child Care Grant Attendance Report CC14 form's GRAND TOTAL Box; and the correction to the Grand Total Box may result in a correction to the FTEs documented in line 1 of the Child Care Grant Reimbursement Request CC15 form.*

2. CCG Reimbursement Request CC15 Form Review for:

- a. Report Month/Year;
- b. Report Month on *Child Care Grant Reimbursement Request* CC15 form matches the report month on the *Child Care Grant Attendance Report* CC14 form(s);
- c. Integrated Child Care Information System (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;
- d. Pay Vendor Number (PVN) matches the ICCIS and Alaska Statewide Accounting System (AKSAS) records. If determined incorrect after researching ICCIS and AKSAS, the incorrect PVN is crossed out and the correct number is written above;
- e. Facility Name matches the ICCIS record. Due to umbrella organization issues, sometimes the name the child care facility listed on the CCG Reimbursement Request form is their Doing Business As (DBA) name and may not match the AKSAS Vendor Legal Name or DBA Name lines on the AKSAS Vendor Detail. A review of ICCIS case notes must occur to determine if there is documentation about the conflict or to document any needed clarification of discrepancies. This ICCIS case note must be attached to each CCG monthly submission to allow Financial Management Services (FMS) to certify the payment;
- f. Administrator name matches the ICCIS record;
- g. Physical Location of Facility, City and Region matches the ICCIS record;
- h. Mailing Address, City, and Zip Code matches the ICCIS and AKSAS records;

- i. Change of mailing address marked Yes, see section 2010-2 C Child Care Grant Changes Reported;
- j. License Expires date matches the ICCIS record. If the Child Care Grant report month is after the expiration date the submission is forwarded to the Eligibility Staff;
- k. Phone Number matches the ICCIS record;
- l. Email, if available, matches the ICCIS record;
- m. Printed name of Owner/Administrator, signature, title and date;
- n. Line 1: The FTE documented in line 1 matches the Grand Totals of ALL *Child Care Grant Attendance Report* CC14 form(s);
- o. Line 6: The number of children documented with Child Care Assistance Program (CCAP) authorizations matches the associated *Child Care Grant Attendance Report* CC14 form(s);
- p. Line 7: The number of children documented with Office of Children's Services (OCS) Authorizations matches the associated *Child Care Grant Attendance Report* CC14 form(s);
- q. Line 8: The number of children documented without a CCAP or OCS authorization matches the associated *Child Care Grant Attendance Report* CC14 form(s);
- r. Line 9: The total numbers of children in care for this report month matches the number of children on the *Child Care Grant Attendance Report* CC14 form(s);
- s. Ensure submissions for the expenditure category of staff salaries and benefits or substitute care indicated have the ~~the~~ *Child Care Grant Reimbursement for Staff Salaries and Benefits or Substitute Care* form 06-4031 attached;
- t. Ensure receipts are attached and items match the expenditure category for all other submissions; and
- u. Statement of Truth Section contains all of the following:
 - Printed name of signer;
 - Signature; and
 - Date.

Submissions determined complete and accurate are initialed and dated in the lower right corner of the *Child Care Grant Reimbursement Request* CC15 form by the Administrative Staff and placed face down in the Accounting Staff basket.

Submissions determined incomplete with discrepancies, or as noted in Line 10 as saving for a future purchase or applying to a past purchase, are initialed and dated in the lower right corner of the *Child Care Grant Reimbursement Request* CC15 form by the Administrative Staff and placed face down in the Eligibility Staff basket.

2020-2 CHILD CARE GRANT SUBMISSIONS – ELIGIBILITY STAFF

Eligibility Staff will retrieve submissions from their basket and assist the facility to correct the discrepancy.

2020-2 A. CHILD CARE GRANT SUBMISSIONS REVIEW

Eligibility Staff will retrieve submissions from their basket throughout the work day and contact the child care facility as necessary for additional information or clarification prior to returning a submission. Submissions are to be reviewed and returned with the applicable notice within two business days of receipt.

1. Current Service Month Submissions:

Eligibility Staff will review each submission indicating information is missing or incorrect. Eligibility Staff will contact the child care facility to obtain the missing information or clarification.

- a. When Eligibility Staff is able to reach the provider and obtain the additional information or clarification, the corrections are made on the form and initialed and dated by the Eligibility Staff. The contact is documented in an ICCIS case note using subject heading: CCG Contact Made. The body of the case note describes the clarification or additional information received. Eligibility Staff will initial and date in the lower right corner of the *Child Care Grant Reimbursement Request* CC15 form and place the submission face down in the Accounting Staff basket.
- b. When Eligibility Staff is unable to reach the child care facility a message is left and documented in an ICCIS case note using subject heading: CCG Attempted Contact. The body of the case

note includes the information needed. The *Child Care Grant Reimbursement Request – Returned* notice indicating all items needed is sent to the facility along with the original forms submitted. A copy of the submission is maintained with a copy of the notice in the Eligibility Staff's Pend rack.

2. Saving for a Future Purchase:

When a child care facility has received preapproval to save for a future expenditure, see 2040-3 A Saving Child Care Grant Funds for a Future Purchase, Eligibility Staff will review the *Child Care Grant Reimbursement Request* CC15 form within one business day and track the amounts to be paid to the facility 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, Eligibility Staff will contact the child care facility and then issue *Child Care Grant – 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 notice is documented in an ICCIS case note using subject heading: CCG Information Needed and includes in the body the specific information requested.

3. Applying Funds to a Past Purchase:

When a child care facility has received preapproval to be reimbursed for an expenditure in a past report month that will be applied to future report months, see 2040-3 B Applying Child Care Grant Funds to a Past Purchase, Eligibility Staff will review the *Child Care Grant Reimbursement Request* CC15 form within one business day 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, Eligibility Staff will issue a *Child Care Grant Purchase Reimbursement Agreement – Completed* notice to the child care facility advising that the agreed upon reimbursement agreement is completed. Issuance of the 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.

4. Prior Month Submissions:

Eligibility Staff will determine if the submission is in response to a notice previously sent to the child care facility. Submissions in response to a notice issued are reviewed to ensure the needed information is received and is within the identified timeframes.

- a. Complete Submissions:

Receipt of the information and action taken is documented in an ICCIS case note using subject heading: CCG Information Received. The *Child Care Grant Reimbursement Request* CC15 form is initialed in the lower right corner and placed face down in the Accounting Staff basket.

- b. Incomplete Submissions:

If the submission is not complete or is received after the identified due date, a *Child Care Grant Payment – Denied* notice is issued. Issuance of the notice is documented in an ICCIS case note using subject heading: CCG Grant Payment Denied.

2020-2 B.

INFORMATION RECEIVED

1. When Eligibility Staff Receive Clarifying Information Verbally:

- a. Enter the information on the *Child Care Grant Reimbursement Request* CC15 form;
- b. Initial and date each correction;
- c. Document the contact with the child care facility and resulting correction(s) in an ICCIS case note using subject heading: CCG Submission Clarifying Info Rec'd; and

- d. Place in the Accounting Staff basket, face down, the corrected *Child Care Grant Reimbursement Request* CC15 and *Child Care Grant Attendance Report* CC14 form(s) for payment processing.

2. When Eligibility Staff Receive Clarifying Information in Writing:

- a. Pull the *Child Care Grant Reimbursement Request – Returned* notice issued by the Eligibility Staff from the Eligibility Staff Pend Rack;
- b. Ensure all identified information is provided;
- c. Attach the notice to the resubmission documents;
- d. Initial and date in the lower right corner of the *Child Care Grant Reimbursement Request* CC15 form; and
- e. Place in the Accounting Staff basket, face down, the corrected *Child Care Grant Reimbursement Request* CC15, *Child Care Grant Attendance Report* CC14 form(s) for payment processing.

2020-2 C. INFORMATION REQUESTED NOT RECEIVED

When a *Child Care Grant Reimbursement Request* CC15 and *Child Care Grant Attendance Report* CC14 form(s) are returned to the 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.

***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 receipts are missing. 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.*

If the information is not received by close of business on the due date, on the *Child Care Grant Reimbursement Request – Returned* notice, the following business day Eligibility Staff will:

- 1. Issue a *Child Care Grant Payment – Denied* notice with their right to request an Administrative Review to the child care facility;
- 2. Document the action in an ICCIS case note using subject heading: CCG Payment Denied; and

3. Provide a copy of the notice with supporting documents to Accounting Staff for updating the CCG Payment Tracking Spreadsheet and filing in the child care facility's billing file.

2020-2 D. CHILD CARE GRANT SUBMISSIONS DENIAL DUE TO INELIGIBILITY

Eligibility Staff will conduct any necessary research within five business days to reach a determination on the facility's eligibility. Eligibility staff will deny Child Care Grant (CCG) submissions if the child care facility has been:

1. Determined to be ineligible for CCG Program; or
2. Suspended.

Eligibility Staff will issue a *Child Care Grant Payment – Denied* notice to the child care facility and document in an ICCIS case note using subject heading: CCG Payment Denied. A copy of the notice with supporting documents is forwarded to the Accounting Staff for updating the Child Care Grant Payment Tracking Spreadsheet and filing in the child care facility's billing file.

2020-3 CHILD CARE GRANT SUBMISSIONS – ACCOUNTING STAFF

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

The designated Accounting Staff reviews each submission for completeness and accuracy and indicates any conflicts or errors by circling them.

Accounting Staff may determine that a submission needs further review by the Eligibility Staff due to a variety of reasons.

2020-3 A. GENERAL REVIEW OF CHILD CARE GRANT SUBMISSIONS

Accounting Staff will take the following steps to prepare a batch of Child Care Grant (CCG) form submissions for payment certification:

1. Confirm the *Child Care Grant Reimbursement Request* CC15 and *Child Care Grant Attendance Report* CC14 forms are all date stamped and prior CCG report month's submissions are flagged.
2. Separate prior month's *Child Care Grant Reimbursement Request* CC15 forms and confirm they have been approved by the Eligibility Staff for payment processing.
3. If either or both of the *Child Care Grant Reimbursement Request* CC15 and *Child Care Grant Attendance Report* CC14 forms contain any of the errors or omissions as outlined in 2020-3C they must be returned to the child care facility for correction.

Confirm the child care facility has signed the Child Care Grant Reimbursement Request CC15 form for all eligible submissions.

4. Review all *Child Care Grant Reimbursement Request* CC15 and *Child Care Grant Attendance Report* CC14 forms for accuracy and completeness by comparing the documents with the following:
 - a. Integrated Child Care Information System (ICCIS);
 - b. Alaska Statewide Accounting System (AKSAS) records;
 - c. CCG Payment Tracking and CCG Program Tracking Spreadsheet(s), and/or
 - d. Contacting the facility prior to returning the request unpaid.

Green Track are submissions determined to be complete, accurate and ready for immediate processing. Accounting Staff will process all CCG submissions with no errors within ten (10) business days of receipt and submit to the CCPO Payment Certifying Staff.

5. Red track are submissions determined to need further review by the Eligibility Staff or clarifying information from the child care facility and will be processed within ten business days of receipt of clarification. Before sending a submission to Eligibility Staff for review, Accounting Staff must:
 - a. Document the issue or areas of concern for review in an ICCIS case note using subject heading: CCG Submission Needs Further Review and enter "Review" on the CCG Payment Tracking Spreadsheet in the Batch # block next to the appropriate Report Month.
 - b. Attach a copy of the case note to the submitted *Child Care Grant Reimbursement Request* CC15 and *Child Care Grant Attendance Report* CC14 forms.

All corrections made by the Accounting Staff to the *Child Care Grant Reimbursement Request* CC15 and/or *Child Care Grant Attendance Report* CC14 forms are to be initialed and dated by the individual making the correction. When information cannot be obtained through this review the request is returned unpaid. See section 2020-3 C, Child Care Grant Submission Returned Unpaid.

6. When the Accounting Staff is unable to reach the child care facility, a message detailing the errors by page, row, and column, whenever possible or requesting a return call is to be left and the attempted contact is documented in an ICCIS case note using subject heading: CCG Attempted Contact.

2020-3 B. CHILD CARE GRANT SUBMISSION ADJUSTED

When mathematical adjustments are made to the *CCG Reimbursement Request* CC15 form, a *Child Care Grant 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. This notice will be created and issued after the CCG submission has been signed off on by the CCPO Staff member certifying that payment batch.

2020-3 C. CHILD CARE GRANT SUBMISSION RETURNED UNPAID

When Accounting Staff is unable to reach the child care facility 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 *Child Care Grant 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.

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 was unsigned. 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 *Child Care Grant 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.

1. *Child Care Grant Attendance Report* CC14 Form Reasons to be Returned for Correction:

- a. Failed to document Report Month/Year;
- b. Submission includes timeframes the facility is not eligible for CCG participation;
- c. Report Month on *Child Care Grant Attendance* CC14 form(s) conflicts with the report month on the *Child Care Grant Reimbursement Request* CC15 form;
- d. Did not complete the full first and last name of each child documented in attendance;
- e. Did not use P or F to document child(ren) attendance;
- f. Child's Daily Total(s) does not match documented attendance, by Row #;
- g. Daily Total(s) does not match documented attendance, by Column #;
- h. Corrections or changes to the errors in f or g above may result in needed corrections in the individual *Child Care Grant Attendance Report* CC14 form's GRAND TOTAL Box; and
- i. The correction to the Grand Total Box may result in a correction to the FTEs documented in line 1 of the *Child Care Grant Reimbursement Request* CC15 form.

2. *CCG Reimbursement Request* CC15 Form Reasons to be Returned for Correction:

- a. Failed to document Report Month/Year;

- b. Report Month on *Child Care Grant Reimbursement Request* CC15 form conflicts with the report month on the *Child Care Grant Attendance Request* CC14 form(s);
- c. Line 1: The FTE documented in line 1 does not match the Grand Totals of ALL *Child Care Grant Attendance Report* CC14 form(s);
- d. Line 6: The number of children documented with Child Care Assistance Program (CCAP) authorizations does not match the associated *Child Care Grant Attendance Report* CC14 form(s);
- e. Line 7: The number of children documented with Office of Children's Services (OCS) Authorizations does not match the associated *Child Care Grant Attendance Report* CC14 form(s);
- f. Line 8: The number of children documented without a CCAP or OCS authorization does not match the associated *Child Care Grant Attendance Report* CC14 form(s);
- g. Line 9: The total numbers of children in care for this report month does not match the number of children on the *Child Care Grant Attendance Report* CC14 form(s); and
- h. Statement of Truth Section is missing one or more of the following:
 - Printed name of signer;
 - Signature; or
 - Date.

2020-3 D.

CCG CORRECTION RESUBMISSIONS

The following steps are taken when Accounting Staff receive a CCG resubmission with corrections depending on the staff unit identifying the needed corrections.

1. Eligibility Staff Issued Notice:

- a. Pull the CCG resubmission from the Accounting basket;
- b. Confirm the Eligibility Staff has attached the corresponding notice, and initialed and dated the lower right corner of the *Child Care Grant Reimbursement Request* CC15 form;

- c. Follow the review process in section 2020-3 A, General Review of Child Care Grant Submission; and
- d. Complete CCG Payment Tracking Spreadsheet, see Section 2030-5, Child Care Grant Payment Tracking Spreadsheet.

2. Accounting Staff Issued Notice:

- a. Pull the CCG resubmission from the Accounting basket;
- b. Confirm the Eligibility Staff has initialed and dated the lower right corner of the *Child Care Grant Reimbursement Request* CC15 form;
- c. Pull the *Child Care Grant Reimbursement Request – Returned* notice issued by the Accounting Staff from Accounting Staff CCG Pend Rack;
- d. Attach the notice to the resubmission documents;
- e. Write in the upper left hand corner of the *Child Care Grant Reimbursement Request* CC15 form:
 - Resubmission due date;
 - Postmark date or date stamp received; and
 - Okay to Pay or Deny;
- f. Follow the review process in section 2020-3 C, Child Care Grant Submission Returned Unpaid; and
- g. Complete CCG Payment Tracking Spreadsheet, see section 2030-5, Child Care Grant Payment Tracking Spreadsheet.

2020-3 E. CCG SUBMISSION DENIALS

When a corrected *Child Care Grant Reimbursement Request* CC15 and/or *Child Care Grant Attendance Report* CC14 form(s), 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. When a submission is denied Accounting Staff will:

1. Issue a *Child Care Grant Payment – Denied* notice within five business days, with their right to request an Administrative Review;

2. Document the action in an ICCIS case note using subject heading: CCG Payment for MM/YYYY– Denied;
3. 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
4. File a copy of the notice with supporting documents in the child care facility’s billing file by Pay Vendor Number (PVN) and ICCIS #.

When the Accounting Staff receives a copy of the *Child Care Grant Reimbursement Request – Denied* notice, issued by the Eligibility Staff, only steps 3 and 4 above will be taken.

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 Payment – Denied* notice has been issued.

2030

CHILD CARE GRANT PAYMENT PROCESSING

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 *Child Care Grant Attendance Report* CC14 forms for payment processing.

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

Accounting Staff will complete a batch of reviewed and verified *Child Care Grant Reimbursement Requests* CC15, which have been entered in the Child Care Grant (CCG) Payment Tracking Spreadsheet and the Alaska Statewide Accounting System (AKSAS).

Each completed batch is to be submitted to a CCPO Staff member with financial signatory authority for payment certification signature, by the close of business each day. The CCPO Staff member certifying the batch must be different than the Accounting Staff person who entered the information into AKSAS. The batch has no minimum size limits, but the Financial Management Services (FMS) unit has requested that they 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 *Child Care Grant Attendance Report CC14* forms, Accounting Staff will sort them into the appropriate pile:

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

2030 A. CHILD CARE GRANT SUBMISSIONS WITHOUT ERRORS (ACCOUNTING GREEN TRACK)

Child Care Grant Reimbursement Request CC15 and *Child Care Grant 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 AKSAS, 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 of each month. The folders are used in sequential order daily for the report month’s submissions.

2030 B. CHILD CARE GRANT SUBMISSIONS WITH ERRORS (RED TRACK)

Child Care Grant Reimbursement Request CC15 and *Child Care Grant Attendance Report CC14* forms with errors will be identified as HOLD, RTN, DENY or AUDIT in the Batch # column of the appropriate fiscal year CCG Payment Tracking Spreadsheet depending on the nature of the issue identified during the review. For Accounting Staff steps, see section 2020-3, Child Care Grant Submissions – Accounting Staff.

These submissions are filed in the CCG Pend Rack, by the requested information due date.

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

2030-1

REVIEW OF THE CHILD CARE GRANT ATTENDANCE REPORT FORM

For each *Child Care Grant Attendance Report* CC14 form submitted by the child care facility Accounting Staff will confirm the following information and will circle any discrepancies unless otherwise indicated below:

1. Facility Name matches Integrated Child Care Information System (ICCIS) record. Due to umbrella organization issues, sometimes the name the child care facility listed on the CCG Attendance Report Form is their Doing Business As (DBA) name and may not match the Alaska Statewide Accounting System (AKSAS) Vendor Legal Name or DBA Name lines on the AKSAS Vendor Detail. A review of ICCIS case notes must occur to determine if there is documentation about the conflict or to document any needed clarification of discrepancies. This ICCIS case note must be attached to each CCG monthly submission to allow Financial Management Services to certify the payment;
2. Mailing Address, City, and Zip Code matches the ICCIS and AKSAS records;
3. 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.
4. Pay Vendor Number (PVN) matches the ICCIS and AKSAS records. If determined incorrect after researching ICCIS and AKSAS, the incorrect PVN is crossed out and the correct number is written above.
5. Report Month and Year are completed.

2030-2

ACTIONS TAKEN ON THE CHILD CARE GRANT ATTENDANCE REPORT FORM

The following actions are completed by Accounting Staff for each *Child Care Grant Attendance Report* CC14 form submitted. Any discrepancies found are to be circled:

1. Confirm there is a first and last name for each child;

2. Count the actual attendance documented for each child in each row to ensure it matches the Total FTEs calculation documented by the facility. The attendance documented is counted as:
 - “F” = 1
 - “P” = 0.5;
3. Count the actual attendance documented for each day by numbered column (1 - 31) to ensure it matches the Daily Page Totals calculation documented by the facility;
4. Confirm the total for the Daily Page Totals in the bottom row is the same as the Total FTE column on the right side for each *Child Care Grant Attendance Report CC14* form page;
5. Confirm the total number *Child Care Grant Attendance Report CC14* form pages submitted as indicated by fax auto-numbering, page numbering by the facility or coversheet matches the number of pages received; and
6. Confirm the total number of children documented as enrolled from all pages of the *Child Care Grant Attendance Report CC14* form matches the total children in care entered on line 9 of the *Child Care Grant Reimbursement Request CC15* form.

2030-3

REVIEW OF THE CHILD CARE GRANT REIMBURSEMENT REQUEST FORM

For each *Child Care Grant Reimbursement Request CC15* form submitted by the facility the following information must be confirmed by the Accounting Staff and any discrepancies circled unless otherwise indicated below:

1. Integrated Child Care Information System (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;
2. Pay Vendor Number (PVN) matches the ICCIS and Alaska Statewide Accounting System (AKSAS) records. If determined incorrect after researching ICCIS and AKSAS, the incorrect PVN is crossed out and the correct number is written above;
3. Facility Name matches the ICCIS record. Due to umbrella organization issues, sometimes the name the child care facility

listed on the CCG Reimbursement Request form is their Doing Business As (DBA) name and may not match the AKSAS Vendor Legal Name or DBA name lines on the AKSAS Vendor Detail. A review of ICCIS case notes must occur to determine if there is documentation about the conflict or to document any needed clarification of discrepancies. This ICCIS case note must be attached to each CCG monthly submission to allow Financial Management Services (FMS) to certify the payment;

4. Administrator name matches the ICCIS record;
5. Physical location of facility, city and region matches the ICCIS record;
6. Mailing address, city, and zip code matches the ICCIS and AKSAS records;
7. Change of mailing address marked Yes, see section 2010-2 C Child Care Grant Changes Reported;
8. License expires date matches the ICCIS record. If the Child Care Grant report month is after the expiration date, additional research is needed;
9. Phone number matches the ICCIS record;
10. Email matches the ICCIS record; and
11. Printed name of Owner/Administrator, signature, title and date.

2030-4

ACTIONS TAKEN ON THE CHILD CARE GRANT REIMBURSEMENT REQUEST FORM

The following actions are completed by Accounting Staff for each *Child Care Grant Reimbursement Request* CC15 form submitted. Any discrepancies found are to be circled unless otherwise indicated below:

1. Confirm the report month and year are entered and match the *Child Care Grant Attendance Report* CC14 form Month and Year;
2. Using all the report month's previously reviewed *Child Care Grant Attendance Report* CC14 form(s) submitted, 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 1;

3. Change the setting on the adding machine to the third decimal point and compute the average daily attendance by dividing the grand total of all FTEs entered in line 1 by 21.7. Using the third decimal point round accordingly:
 - a. .000 to .004 the second decimal point number does not change, i.e. $17.904 = 17.90$
 - b. .005 to .009, the second 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 2.
4. If the number the facility entered in line 2 is not the same as the calculation, crosscheck it with the CCG Payment Tracking Spreadsheet calculation. If the calculation is incorrect cross it out and write the correct figure next to line 2;
5. Verify the geographically adjusted rate entered in line 3 for the facility's physical location matches the current fiscal year's *Child Care Grant Rate Schedule* for their community. If the geographically adjusted rate is not accurate cross it out and write the correct rate next to line 3;
6. Multiply the numbers in line 2 and line 3 together and confirm this matches the amount entered in line 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 next to line 4;
7. Skip line 5 at this time;
8. Verify the total number of children identified as "C" on all the *Child Care Grant Attendance Report* CC14 forms matches the number entered in line 6;
9. Verify the total number of children identified as "O" on all the *Child Care Grant Attendance Report* CC14 forms matches the number entered in line 7;
10. Verify the total number of children identified as "S" on all the *Child Care Grant Attendance Report* CC14 forms matches the number entered in line 8;

11. Add the number of children in lines 6, 7, and 8 together. Verify the total number of children documented on all the combined *Child Care Grant Attendance Report* CC14 forms matches the number entered in line 9;
12. Verify that the total number of children in lines 6 and 7 are equal to or greater than line 10. If the sum of lines 6 and 7 are less than line 10, the facility has not met their minimum participation of five percent (5%) for this report month;
 - 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 notify the Eligibility Staff by sending an email to dpacpp@alaska.gov using subject heading: CCG 5th Month Not Mtg CCA. The email will contain the following information:
 - Facility Name;
 - ICCIS Facility #;
 - Months of non-compliance.

Example: Subject Line: 05/2013 -CCG 5th Month Not Mtg CCA. Contents: CCPO Accounting identified this provider having not met the CCAP/OCS required 5% participation minimum the 5 months of, January 2013 to May 2013, regarding CCG Reimbursement submissions.

Upon the 6th month of non-compliance the child care facility is subject to program suspension by Eligibility Staff. See section 2060-1, Suspending a Participating Child Care Facility.

13. Add the expenditure categories together to ensure the total matches the amount entered for the CCG reimbursement amount in line 11. This will be used to complete line 5 that was skipped earlier. The total of all expenditure categories is the amount the facility can request for reimbursement.
 - a. If the CCG reimbursement amount requested in line 11 is EQUAL to maximum qualifying reimbursement amount in line 4, enter the full amount in line 5; or
 - b. If the CCG reimbursement amount requested in line 11 is GREATER THAN the maximum qualifying reimbursement amount in line 4, enter the maximum qualifying reimbursement amount from line 4 in line 5; or

- c. If the CCG reimbursement amount requested in line 11 is LESS THAN the maximum qualifying reimbursement amount in line 4, enter the CCG reimbursement amount requested from line 11 in line 5; and
- d. The amount in line 5 is circled, initialed and dated to indicate the form is ready for payment processing in the Alaska Statewide Accounting System (AKSAS).

2030-5 CHILD CARE GRANT PAYMENT TRACKING SPREADSHEET

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

2030-5 A. PREPARING FOR SPREADSHEET ENTRIES

Open the CCG Payment Tracking Spreadsheet for the applicable state fiscal year to enter the correct and completed CCG Batches located in Shared\CCG\CCG\FY ##.

Before making entries into the CCG Payment Tracking Spreadsheet, verify the Pay Vendor Number (PVN), Integrated Child Care Information System Number (ICIS #), Facility Name, and Administrator/Owner name entered on the spreadsheet match what is documented on the CCG submission.

Verify the Child Care Grant (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 forwarded to the Eligibility Staff for review and possible denial. See Section 2020-2 A, Child Care Grant Submission Review.

2030-5 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 PVN # 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 1;
3. AVE FTE: This is auto-populated after entries are made in a and b above and must match line 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 decimal points;
5. Geographic Region: Verify the community entered matches the facility's physical location;
6. CCG Geographic Rate: Verify the rate entered is correct for the facility's community based on the *Child Care Grant Rate Schedule*;
7. Qualifying Payment Amount: Verify the amount matches the *Child Care Grant Reimbursement Request* CC15 form line 4;
8. CCG Reimbursement Amount Requested: Enter the amount from line 11 of the *Child Care Grant Reimbursement Request* CC15 form;
9. Actual CCG Reimbursement Amount: Enter the amount from line 5 of the *Child Care Grant Reimbursement Request* CC15 form;
10. # CCAP (C): Enter the number of children enrolled with an authorization issued by the Child Care Assistance Program(CCAP) from line 6 of the *Child Care Grant Reimbursement Request* CC15 form;

11. # OCS (O): Enter the number of children enrolled with an authorization issued by the Office of Children Services (OCS) from line 7 of the *Child Care Grant Reimbursement Request* CC15 form;
12. # Other (S): Enter the number from line 8 of the *Child Care Grant Reimbursement Request* CC15 form;
13. # Total Child in Care: Verify the auto-populated number matches line 9 of the *Child Care Grant Reimbursement Request* CC15 form;
14. CCAP/OCS Required 5% Auth Min: Verify the auto-populated number matches line 10 of the *Child Care Grant Reimbursement Request* CC15 form;
15. Facility Actual CCAP/OCS Auth: Entries from #10 and #11 above are added and auto-populated and matches the sum of lines 6 and 7 of the *Child Care Grant Reimbursement Request* CC15 form;
16. 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 1 through 6 as applicable in place of the #.
 - Upon the 5th month with no CCAP participation an email using subject heading: CCG 5th Month No CCA is sent to the Eligibility Staff alerting them for next action.
17. Enter an “X” 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
18. Date Stamped Received: Enter the date the last document was received to complete the CCG report month submission;
19. Date Input: Enter date the information is input into AKSAS by entering the month, day and initials (9/18-xx); and

20. Comments: Beginning in August of each year, verify the first month's submission contains an original signature for the new fiscal year. Enter the appropriate Y or N from the drop down menu and note this in Comment #1. i.e. "FY13 Original Sign."

2030-6

ALASKA STATEWIDE ACCOUNTING SYSTEM DATA ENTRY PROCESS

Accounting Staff will use their assigned Alaska Statewide Accounting System (AKSAS) RD Code and enter each Child Care Grant (CCG) report month submission included in the batch # folder into AKSAS. Accounting Staff will create a financial batch. Each CCG report month submission is entered with a system assigned unique sequence number in the AKSAS financial batch number.

2030-6 A.

ALASKA STATEWIDE ACCOUNTING SYSTEM DATA ENTRIES

Accounting Staff will complete the following entries into AKSAS:

1. Trans Code Minor: 10;
2. WRT Class: GN;
3. Source RD Code: Accounting Staff member's assigned RD code;
4. Warrant Amount: from line 5 of the *Child Care Grant Reimbursement Request* CC15 form;
5. Fiscal Period Code:
 - a. C = Current fiscal year
 - b. A = Prior fiscal year (only use with supervisor approval).
6. Routing Code:
 - a. M = Mail
 - b. D = Direct Deposit
7. Ref 1:
 - a. Type: PVN (this is the Pay Vendor Number)
 - b. Reference Number: Facility PVN
 - c. Amount: leave blank
 - d. Date: leave blank

8. Ref 2:
 - a. Type: GRT
 - b. Reference Number: Facility's Integrated Child Care Information System (ICCIS) Number
 - c. Amount: from line 5 of the *Child Care Grant Reimbursement Request* CC15 form
 - d. Date: date stamped received

9. Ref 3:
 - a. Type: BIL
 - b. Reference Number: Child Care Grant Prog
 - c. Amount: leave blank
 - d. Date: date keyed into AKSAS

10. FIN 1:
 - a. Amount: from line 5 of the *Child Care Grant Reimbursement Request* CC15 form
 - b. SY: State Fiscal Year
 - c. CC: 6216405
 - d. PGM: leave blank
 - e. LC: 6211110
 - f. ACCT:77121
 - g. FY: Federal Fiscal Year

2030-6 B. COMPLETE ALASKA STATEWIDE ACCOUNTING SYSTEM ENTRY PROCESS

To complete the AKSAS entry process, Accounting Staff will print the "F5" screen once AKSAS verifies there are no AKSAS errors, attach to the corresponding CCG report month submission onto goldenrod paper, and perform the following steps:

1. Place the documents printed from "F5" screen above in the numbered batch folder;

2. Repeat AKSAS data entry (See section 2030-6 A, Alaska Statewide Data Entries) and Step 1. above until all CCG report month submissions are entered into AKSAS;

3. Return to the Financial Data Entry (FDE) Menu by selecting the "F1" key. Print the screen of this completed financial batch to obtain the Batch Control Total;

4. Total all the *Child Care Grant Reimbursement Requests*, line 5, entered in the completed AKSAS batch using an adding machine tape. Compare the tape total to the FDE Batch Control Total. If they do not match, review until any error is found, corrected and the totals match;
5. Complete the batch coversheet for Finance and Management Services (FMS). Saved as: Shared\ACCTG\CCG\Batch HeaderPriority_CCG Payments.doc”
6. Place the batch coversheet, batch control total page, and all corresponding completed CCG report month submissions into the corresponding blue CCG numbered batch folder and submit for Child Care Program Office (CCPO) certification review and signature;
7. Each business day Accounting Staff must complete a batch folder of CCG report month submissions for signature; and
8. Accounting Staff make any needed corrections and will ensure the batch is CCPO certified. See Section 2030-7, Child Care Program Office Payment Certifying Accounting Staff before preparing it for Finance and Management Services submission and Section 2030-8, Submit Child Care Program Office Certified Batch to Finance and Management Services.

2030-7

CHILD CARE PROGRAM OFFICE PAYMENT CERTIFYING ACCOUNTING STAFF

Child Care Program Office (CCPO) Certifying Accounting Staff will perform the following steps within one business days of receipt of a completed batch:

1. Annotate corrective actions taken or needed to be completed on Alaska Statewide Accounting System (AKSAS) “F5” screen print page;
2. If corrective action cannot be taken by the CCPO certifier, the *Child Care Grant Reimbursement Request* CC15 form containing the error will NOT be signed until the corrections are made and verified;
3. If corrective action can be taken by the CCPO certifier, the *Child Care Grant Reimbursement Request* CC15 form will be signed and the correction noted for quality control and training;

4. Verify the AKSAS data entry matches the *Child Care Grant Reimbursement Request* CC15 form for the report month attached;
5. Verify the Child Care Grant (CCG) Payment Report data matches the CCG Payment Tracking Spreadsheet data entry;
6. Update CCG Payment Tracking Spreadsheet Reviewed Date by inputting the month/day certified and initials (9/18-xx);
7. Sign and date the Certification box on the *Child Care Grant Reimbursement Request* CC15 form; and
8. Return the CCG Batch folder to Accounting Staff for any needed corrections or to make copies and submit to Finance and Management Services (FMS). See section 2030-8, Submit Child Care Program Office Certified Batch to Finance and Management Services.

2030-8

SUBMIT CHILD CARE PROGRAM OFFICE CERTIFIED BATCH TO FINANCE AND MANAGEMENT SERVICES

2030-8 A.

PREPARE THE CCPO CERTIFIED BATCH FOR SUBMISSION TO FINANCE AND MANAGEMENT SERVICES

To prepare the Child Care Program Office (CCPO) certified batch for submission to Finance and Management Services (FMS) Accounting Staff will perform the following steps:

1. Copy individually the Alaska Statewide Accounting System (AKSAS) "F5" screen print and the corresponding CCPO certified *Child Care Grant Reimbursement Request* CC15 form back to back;
2. On the two-sided copy, stamp the corresponding AKSAS Batch and Sequence number to that Child Care Grant (CCG) record above the Certified True Copy of Original" box on the *Child Care Grant Reimbursement Request* CC15 form;

3. On the two-sided copy, sign and date the “Certified True Copy of Original” box on *the Child Care Grant Reimbursement Request* CC15 form in an ink color other than black;
4. Once all are copied attach a copy of the Priority Batch coversheet and the AKSAS Batch Control Total page and submit via interoffice mail to FMS using one of the CCG Batch Mylar envelopes or by delivering in person.

2030-8 B.

FINANCE AND MANAGEMENT SERVICES CERTIFICATION

Once FMS has certified an AKSAS batch, Accounting Staff will confirm that each individual sequence in that batch has had a warrant issued for the amount keyed. To do this Accounting Staff access the Warrant Inquiry (IW) screen in AKSAS, select the Warrant Reference option, enter “grt” in Ref Type and the facility’s ICCIS number in the Ref Number space. A list of all “grt” warrants issued within the past thirteen (13) months to this facility are listed. Accounting Staff will confirm the warrant issued matches the amount keyed and verified and write the warrant number on the corresponding goldenrod AKSAS “F5” screen print attached to the original CCG report submission.

1. When the amounts match, the CCG report month submission is filed by Pay Vendor Number (PVN) and Integrated Child Care Information System number; or
2. If the amount does not match, Accounting Staff will determine the error and the corrective action to resolve the incorrect payment. See section 2070, Incorrect Payments of Child Care Grant Funds.

2040

CHILD CARE GRANT EXPENDITURES FOR REIMBURSEMENT

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

A participating child care facility may only request 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 Child Care Grant 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* form 06-4031 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, Child Care Grant Facility Records Retention.

2040-1 ALLOWABLE CHILD CARE GRANT 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 Eligibility 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 FOR 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 criminal history check through the Alaska Background Check Program;
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. CPR and first aid training and certification for staff;
12. Flu shots, vaccines and 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

Allowable expenditures for costs of child development education and training include:

- 1. Monthly classroom curriculum, 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 the Alaska Statewide Child Care Resource and Referral Network that are beyond the annual ten (10) hours available.

2040-2

NON-ALLOWABLE CHILD CARE GRANT EXPENDITURES

Some facility expenditures will not be reimbursed with Child Care Grant funds. Child Care facilities may contact Eligibility 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 CHILD CARE GRANT FUNDS FOR A PURCHASE

2040-3 A.

SAVING CHILD CARE GRANT FUNDS FOR A FUTURE PURCHASE

A child care facility may save Child Care Grant (CCG) funds to make a purchase at a later date within the same state fiscal year (July 1 through June 30). The child care facility must request to save funds by completing the Request to Save Funds section of the *Child Care Grant Request to Save Funds – Apply Past Funds* form and submitting it to the 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.

Saved payments made to a child care facility will be recouped if the child care facility ceases operation, is suspended or ends their Child Care Grant participation unless a receipt is provided for purchase of the item. The purchase must have been made during a time the child care facility was in operation and participating in the CCG Program.

CCPO Staff will:

1. Eligibility Staff will, within one business day of receiving the request, determine if the item is allowable for reimbursement from the CCG Program 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. Eligibility Staff will notify the child care facility of the determination by issuing either a *Child Care Grant Saving for a Future Purchase – Approved* or *Child Care Grant Saving for a Future Purchase – Denied* notice of their request to save funds. The *Child Care Grant Saving 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. Eligibility 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 Saving for a Future Purchase – Approved* notice is attached to the child care facility's *Child Care Grant Reimbursement Request CC15* form and submitted to Accounting Staff.

- b. Accounting Staff will update the CCG Payment Tracking Spreadsheet by highlighting the rows for the months the child care facility is expecting to save and adding a comment of what expenditure the child care facility is purchasing, and process the submission. See section 2030, Child Care Grant Payment Processing.
4. Eligibility Staff will monitor all future submissions until the purchase is completed.
 - a. If the receipt for the agreed upon purchase is not provided by the due date in the *Child Care Grant Saving for a Future Purchase Approved* notice, a *Child Care Grant– Information Needed* notice is sent. This notice will include information advising the child care facility if receipt for the purchase is not provided by the *Child Care Grant– Information Needed* notice due date, action may be taken to re-coop payments made for this purchase. If receipt of the purchase is not provided an Incorrect Payment Preliminary Review form is submitted. See section 2070, Incorrect Payments of Child Care Grant Funds.
 - b. Upon submission of the receipt for the purchase *A Child Care Grant Purchase Reimbursement Agreement – Completed* notice is sent to the child care facility.
 5. Eligibility Staff will update the CCG Purchase Tracking Spreadsheet based on if the purchase was made.
 6. Eligibility Staff will notify Accounting Staff once the purchase has been made for updating the CCG Payment Tracking Spreadsheet.

2040-3 B.

APPLYING CHILD CARE GRANT FUNDS TO A PAST PURCHASE

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

The child care facility must request to apply funds by completing the Apply Past Funds section of the *Child Care Grant Request to Save Funds – Apply Past Funds* form and submitting it to the CCPO. The form indicates the item the child care facility purchased, purchase date and purchase amount.

If the child care facility ceases operation for any reason, is suspended or ends their child Care Grant 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 form must be submitted for approval, even if the purchase was within the prior approval timeframe within the same fiscal year.*

Eligibility Staff will:

1. Determine if the item is allowable for reimbursement from the CCG Program within one 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 Apply to a Past Purchase – Approved* or *Child Care Grant Apply to a Past Purchase – Denied* notice.
3. When the request to apply funds for a past purchase is approved, the Eligibility 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 Eligibility Staff reviews the *Child Care Grant Reimbursement Request* CC15 form(s) and notifies Accounting Staff for updating the CCG Payment Tracking Spreadsheet.

2050

CHILD CARE GRANT REVIEWS AND MONITORS

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

Eligibility Staff will conduct a review of at least fifteen (15) Child Care Grant 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 Child Care Grant (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 CHILD CARE GRANT REVIEWS

Eligibility Staff will use the *Child Care Grant Review* form to complete a review of the Child Care Assistance Program (CCAP) children's attendance and reimbursement(s) for allowable expenditures from a sample provided by the Division of Public Assistance, Program Integrity and Analysis Unit.

Eligibility Staff will document the review in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG Review and update the Child Care Grant (CCG) Program Tracking Spreadsheet to track child care facilities reviewed for minimum participation requirements.

The *Child Care Grant Review* form is maintained in the child care facility's CCG Administrative blue folder. See 2100-2 B Child Care Program Office Child Care Grant Records Retention – Eligibility Staff.

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

To review Child Care Assistance Program (CCAP) children's attendance, Eligibility Staff will compare information on the review month's *Child Care Grant Reimbursement Request* CC15 and *Child Care Grant Attendance Report* CC14 forms to information available in ICCIS, Alaska Accounting System (AKSAS) 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 *Child Care Grant 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, Child Care Grant Eligibility Criteria for Participation and 2010-2, Child Care Grant Eligibility Maintenance.

2050-1 B. REVIEW CHILD CARE GRANT 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.

2050-2 CHILD CARE GRANT MONITORS

Eligibility Staff will complete the Monitor section of the *Child Care Grant Review* form when conducting a Child Care Grant (CCG) Monitor. The 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 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. WHEN ADDITIONAL MONITOR INFORMATION IS NEEDED

If additional information is needed from the child care facility to complete the monitor a *Child Care Grant - 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

Eligibility Staff will evaluate information from ICCIS, Alaska Statewide Accounting System (AKSAS), 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 *Child Care Grant 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.

The *Child Care Grant Monitor Report* identifies the status of the child care facility's CCG Program 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 *Child Care Grant Monitor Report*.

2060 CHILD CARE GRANT SUSPENSION OF PAYMENT DUE TO MINIMUM PARTICIPATION NOT BEING MET

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

Eligibility Staff will suspend payment and program participation to a child care facility when the minimum participation requirement for children in care who have been issued a Child Care Authorization through the State of Alaska Child Care Assistance Program, within any six month period is not met. See sections 2000-2, Child Care Grant Eligibility Criteria for Participation and 2010-2, Eligibility Maintenance.

2060-1 SUSPENDING A PARTICIPATING CHILD CARE FACILITY

For participation in the Child Care Grant Program 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 through the State of Alaska Child Care Assistance Program, within any six month period. Child Care Authorizations issued by the Office of Children's Services for children in protective services or foster care are also included.

2060-1 A. FIFTH MONTH REVIEW - MINIMUM PARTICIPATION NOT MET

When the minimum participation requirement above is not met in the fifth month, Eligibility Staff will receive email notification from the Accounting Staff. Upon notification Eligibility Staff will verify that during each of the five months identified the child care facility was not meeting the five percent (5%) minimum participation requirements. The Eligibility staff track the facility's next month's submission to see if they meet the five percent (5%) minimum participation requirements. The sixth month's submission without meeting the minimum participation requirements is processed for payment as normal. The Eligibility Staff will issue a *Child Care Grant Suspended – Minimum Participation Not Met* notice to the participating child care facility and document the action in an Integrated Child Care Information System (ICIS) case note using subject heading: CCG Suspended - Minimum Part Req Not Met. This notice is to be sent both certified, return receipt requested and regular mail.

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

1. The timeframes and participation requirement(s) not met;
2. The month suspension begins and ends;
3. The requirements needing met to resume participation;
4. *Child Care Grant Request for Administrative Review* form with due date for submission; and
5. Request for *Child Care Grant Good Cause Waiver* form, if applicable, with due date for submission using the Adverse Action Calendar.

2060-1 B. FIFTH MONTH REVIEW - MINIMUM PARTICIPATION MET

When Eligibility Staff identify a child care facility was in compliance for any of the five months under review, they will document in an ICCIS case note using subject heading: CCG 5th Month Review Met, the discrepancy found and notify the Accounting Staff via email using subject heading: CCG 5th Month Review Met of the needed corrections to the appropriate fiscal year's CCG Payment Tracking Spreadsheet.

2060-2 GOOD CAUSE WAIVER OR ADMINISTRATIVE REVIEW NOT SUBMITTED

If the participating child care facility does not submit a *Child Care Grant Request for Good Cause Waiver* or a *Child Care Grant Request for Administrative Review*, the suspension will remain for the next consecutive six months. Eligibility Staff documents the suspension in the CCG Program Tracking Spreadsheet and unchecks the CCG check box in the Integrated Child Care Information System (ICCIS) Application screen .

If the child care facility does not apply for reinstatement prior to the end of the sixth month, Eligibility Staff will close their CCG participation, send a *Child Care Grant – Closed* notice and document the action in an ICCIS case note using subject heading: CCG Closed.

2060-3 GOOD CAUSE WAIVER RECEIVED

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

2060-3 A. CRITERIA FOR A GOOD CAUSE WAIVER

The criteria for a good cause waiver include either of the following:

1. Within the community, the number of children receiving State of Alaska Child Care Assistance who are the subject of an enrollment authorization under Alaska Administrative Code (AAC) 7 AAC 41.035 or an attendance authorization under 7 AAC 41.040 is smaller than the number of spaces required under this section for each participating child care facility.
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 GOOD CAUSE WAIVER

If a *Child Care Grant Request for Good Cause Waiver* form is received, Eligibility Staff determines if the participating child care facility meets one 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 Child Care Assistance Program (CCAP) grantee for the facility’s community and Child Care Licensing.

Eligibility Staff will document in an Integrated Child Care Information System (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. If the participating child care facility meets the criteria for a Good Cause Waiver, Eligibility Staff grants a waiver for the next consecutive six-month period. A *Child Care Grant Good Cause Waiver - Approved* notice stating their waiver timeframe, with a *Child Care Grant Request for Administrative Review* form enclosed, is sent to the child care facility and a copy to Accounting Staff. Eligibility Staff will recheck the CCG box in the ICCIS Application screen.

When a child care facility has been granted a Good Cause Waiver and does not meet the minimum participation requirement by the fifth month, the Eligibility Staff sends a *Child Care Grant Good Cause Waiver - Ending* notice to the child care facility to notify them the Good Cause Waiver is ending, with a *Child Care Grant Request for Administrative Review* and *Child Care Grant Request for Good Cause Waiver forms* enclosed.

2. If the participating child care facility does not meet the criteria for a Good Cause Waiver, Eligibility Staff denies the request and sends a *Child Care Grant Good Cause Waiver - Denied* notice to the child care facility. The notice states why the criteria were not met and that the child care facility may re-apply at any time, with a *Child Care Grant Request for Administrative Review* form enclosed.
3. If the child care facility disagrees with the good cause waiver determination, they may submit a *Child Care Grant Request for Administrative Review* to the CCPO within fifteen (15) calendar days of receiving the determination. See section 2080, Child Care Grant Request for Administrative Review.

2060-4

REINSTATEMENT AFTER SUSPENSION DUE TO MINIMUM PARTICIPATION REQUIREMENTS NOT BEING MET

If the child care facility applies for reinstatement after a suspension 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 to ensure five percent (5%) or one child, whichever is greater, in care at the child care facility have a State of Alaska Child Care Authorization. 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 A. PARTICIPATION REQUIREMENTS ARE MET

If all participation requirements are met, Eligibility Staff will reinstate the child care facility and issue a *Child Care Grant Reinstatement Approval Notice* with the new effective date for *Child Care Grant Reimbursement Request CC 15* and *Child Care Grant Attendance Report CC 14* submissions. Eligibility Staff will check the CCG box on the ICCIS Application screen and document in a case note using subject heading: CCG Reinstated identifying the reinstatement effective date and notice sent.

Eligibility Staff will also send the facility a *Child Care Grant Good Cause Waiver – Rescinded* notice and copy Accounting Staff as the facility must again be in compliance with the Child Care Grant Program to be reinstated.

2060-4 B. NON-PARTICIPATING CHILD CARE FACILITIES

If a child care facility does not submit any *Child Care Grant Reimbursement Request CC15* and *Child Care Grant Attendance CC14* form(s) within one calendar year from the month the reinstatement began, they are considered to be a non-participating child care facility. Eligibility Staff will take the following steps:

1. Issue a *Child Care Grant - Closed* notice advising the child care facility they are being removed from the CCG Program but may re-apply at any time;
2. Remove from the CCG Program Tracking Spreadsheet;
3. Uncheck the CCG box in the ICCIS Application screen; and
4. Document in an ICCIS case note the actions taken using subject heading: CCG Closed.

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

2070 INCORRECT PAYMENTS OF CHILD CARE GRANT 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 (CCG) funds has occurred, the Eligibility 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

The Child Care Program Office (CCPO) staff identifying the possible incorrect payment will complete an *Incorrect Payment Preliminary Review* form, provide any supporting documentation and submit it to the Eligibility Staff for further investigation.

2070-1 A. INCORRECT PAYMENT PRELIMINARY REVIEW FORM SUBMISSION

The Eligibility Staff documents receipt of the Incorrect Payment Preliminary Review in an ICCIS case note using subject heading: CCG IP Received, creates an Incorrect Payment folder with a label identifying the state fiscal year, facility name, ICCIS number and the date of the submission. The information is entered on the Incorrect Payment Tracking spreadsheet for the corresponding fiscal year.

2070-1 B. INCORRECT PAYMENT PRELIMINARY REVIEW FORM REVIEW

Within thirty (30) calendar days of receiving the *Incorrect Payment Preliminary Review* form, the Eligibility Staff will conduct a fact finding review and make a determination if an incorrect payment or program violation exists.

The review may include, but is not limited to:

1. State of Alaska and contracted databases;

2. Family, child care facility, designee, or department records;
3. Announced or unannounced inspections of the child care facility location and interviews with the families, child care facility; and/or
4. Collateral contacts.

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

The Eligibility Staff use the IP Worksheet as necessary to document the investigation. The findings of the fact finding investigation are documented in an ICCIS case note using subject heading: CCG IP (WITH OR WITHOUT) MERIT

2070-2 OVERPAYMENT OF CHILD CARE GRANT FUNDS

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

2070-2 A. OVERPAYMENT OF CHILD CARE GRANT FUNDS NOT PURSUED

If the overpayment is \$99.99 or less, the Eligibility Staff will document the details in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG IP with Merit but will not pursue repayment. 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. OVERPAYMENT OF CHILD CARE GRANT FUNDS PURSUED FOR A PARTICIPATING CHILD CARE FACILITY

When an overpayment totaling \$100.00 or more is determined, the Eligibility Staff will send a *Child Care Grant Incorrect Payment* notice to the child care facility by certified mail with return receipt

requested and by regular mail, and copy Accounting Staff, which includes:

1. The basis for the determination;
2. Notification the overpayment will be adjusted from the next month's or future month's Child Care Grant Program (CCG) submissions unless the child care facility contacts the Child Care Program Office (CCPO) Eligibility Staff within fifteen (15) calendar days or submits a *Child Care Grant Financial Repayment Agreement* and makes alternative payment arrangements; and
3. The right to appeal by submitting a *Child Care Grant Request for Administrative Review*.
4. All overpayment(s) will be deducted from the next month(s) submission until the overpayment is repaid in full and may cross state fiscal years if necessary.

2070-2 C.

OVERPAYMENT OF CHILD CARE GRANT FUNDS PURSUED WHEN CHILD CARE FACILITY IS NO LONGER PARTICIPATING

If the child care facility does not submit a request for *Child Care Grant Reimbursement Request* CC15 form in the month following the identification and notification of the error, closes, fails to comply or stops compliance with an established repayment plan, the Eligibility Staff sends a Debar Warning letter advising the facility of the need to repay the overpayment directly to the Child Care Program Office. The Eligibility Staff will document the details in an ICCIS case note using subject heading: CCG IP Debar Warning including the amount remaining for collection.

If the facility fails to comply or stops making payments the CCPO will sanction the facility. See section 2090, Child Care Grant Sanctions and How to Impose.

2070-2 D.

OVERPAYMENT OF CHILD CARE GRANT FUNDS REPAYMENT PLAN

If the child care facility submits a *Child Care Grant Financial Repayment Agreement* or contacts the CCPO to repay the money, Eligibility Staff will develop a repayment plan and monitor repayments. Upon receipt of the notarized *Child Care Grant Repayment Agreement* signed by the child care facility Eligibility Staff will document in an ICCIS case note using subject heading: CCG Financial Repayment Agreement Rcvd the details of the recoupment and forward a copy to the Accounting Staff.

2070-3 UNDERPAYMENT OF CHILD CARE GRANT 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.

2070-3 A. UNDERPAYMENT OF CHILD CARE GRANT FUNDS PURSUED

When an incorrect payment identifying an underpayment is determined, the Eligibility Staff will document the basis for the determination in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG IP with Merit. The Eligibility Staff will coordinate with Accounting Staff for payment processing.

The Accounting Staff will send a *Child Care Grant Payment – Adjusted* notice identifying the error, amount and when the corresponding payment was processed in the Alaska State Accounting System (AKSAS).

2070-3 B. UNDERPAYMENT OF CHILD CARE GRANT FUNDS WHEN PARTICIPATION ENDS

No payments or adjustments will be made if at any time the child care facility's Child Care Grant (CCG) participation ends. Any remaining amount owed to the child care facility will be entered in an Integrated Child Care Information System (ICCIS) case note using subject heading: CCG Underpayment and adjusted, following 2070-3 A, Underpayment of Child Care Grant Funds Pursued, if and when the child care facility again participates in the CCG Program.

2080

CHILD CARE GRANT 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 participation or payment, they may request an Administrative Review by submitting a *Child Care Grant Request for Administrative Review* form to the Child Care Program Office. The *Child Care Grant Request for Administrative Review* form must be provided with each notice sent.

2080-1

CHILD CARE GRANT REQUEST FOR ADMINISTRATIVE REVIEW SUBMISSION

A request for Administrative Review 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.

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

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; and
4. The specific relief sought; and
5. Signature of requestor and date signed.

2080-2

CHILD CARE GRANT ADMINISTRATIVE REVIEW DECISIONS PROCESSING

When a Request for Administrative Review is received disputing a determination made by Accounting Staff, the Eligibility Staff will conduct the Administrative Review. The Public Assistance Analyst (PAA) Staff will conduct Administrative Reviews for determinations made by the Eligibility Staff which are disputed. The Staff who receives the request for administrative review will render a decision and take the following steps:

1. Enter receipt of the *Child Care Grant Request for Administrative Review* in the applicable state fiscal year's Administrative Review Tracking Spreadsheet and create an electronic Administrative Review case file with a format using the, Facility's Name and Administrative Review Number;
2. Review each *Child Care Grant Request for Administrative Review* and contact the requestor for any information not provided with the request or for additional information;
3. Conduct a thorough review of the issue and evaluate information from the Integrated Child Care Information system (ICCIS), the Alaska Statewide Accounting System (AKSAS), 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;
4. Issue an Administrative Review Decision letter to approve or deny the request within fifteen (15) calendar days of receiving the *Child Care Grant Request for Administrative Review* which includes the right to appeal the decision to the director of the Division of Public Assistance within fifteen (15) calendar days after receiving the decision;
5. Mail the Administrative Review Decision letter, certified with return receipt requested and by regular mail to the child care facility;
6. Provide a copy of the Administrative Review Decision letter to the Eligibility Staff and/or Accounting Staff for the necessary corrective action;
7. Document the determination and actions taken in an ICCIS case note using subject heading: Administrative Review Decision; and
8. Maintain the decision in the electronic Administrative Review file.

2080-3

CHILD CARE GRANT ADMINISTRATIVE REVIEW DECISION ACTIONS

2080-3 A.

PAYMENT RELATED ACTIONS FOR ADMINISTRATIVE REVIEW DECISIONS

When Accounting Staff receives a copy of the Administrative Review Decision letter requiring payment 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 *Child Care Grant Attendance Report* CC14 forms;
2. Process for payment. See section 2030, Child Care Grant Payment Processing;
3. Update the appropriate state fiscal year CCG Payment Tracking Spreadsheet; and
4. Document all payment related actions completed in an Integrated Child Care Information System (ICCS) 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 – 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 – Corrective Action notice, with any supporting documentation, in the child care facility's Child Care Grant (CCG) administrative case file.
3. Update the CCG Program Tracking Spreadsheet, if applicable, and

4. Document all the other eligibility related actions in an Integrated Child Care Information System (ICIS) case note using subject heading: CCG AR Decision – Action Completed-ET.

2090

CHILD CARE GRANT 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

CHILD CARE GRANT SANCTION REASONS AND SUSPENSION TIMEFRAMES

2090-1 A.

CHILD CARE GRANT 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 (CCG) Program. Suspension Timeframe: two 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 months;

3. Failing to comply with requirements related to allowable expenditures. Suspension Timeframe: four 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 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 program violation. This may be considered an intentional program violation. Suspension Timeframe: six 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 months.

2090-1 B. CHILD CARE GRANT SANCTION REASONS THAT RESULT IN 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 Program intentional program violations.

2090-2 IMPOSING A CHILD CARE GRANT SANCTION

2090-2 A. IMPOSING A CHILD CARE GRANT SANCTION – ELIGIBILITY STAFF

Eligibility Staff must notify the child care facility of the determination a Child Care Grant (CCG) Program 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. *Child Care Grant Request for Administrative Review* 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 forward a copy of the determination to the Accounting Staff to impose the sanction effective the first of the month following a fifteen (15) calendar day period to allow the child care facility to request an administrative review.

2090-2 B. IMPOSING A CHILD CARE GRANT 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 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 *Child Care Grant Request for Administrative Review* 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.

2090-3

RESCINDING A CHILD CARE GRANT 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 and copy Accounting Staff which includes:

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

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.

2090-4

REINSTATEMENT AFTER A CHILD CARE GRANT SANCTION

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

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

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

2100

CHILD CARE GRANT 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

CHILD CARE GRANT FACILITY RECORDS RETENTION

Child care facilities must retain Child Care Grant (CCG) records for a minimum of three 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 *Child Care Grant 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 Program.

These CCG Program 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 CHILD CARE GRANT 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.

CHILD CARE PROGRAM OFFICE CHILD CARE GRANT 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 Program reimbursement information includes:
 - a. The current fiscal year's *Child Care Grant Reimbursement Request* CC15; and
 - b. *Child Care Grant Attendance Report* CC14 forms with a screen print from the Alaska Statewide Accounting System (AKSAS) on a colored paper attached to the front.
2. Reimbursement information is filed by the Pay Vendor Number (PVN). The child care facility's billing file will be retained in accordance with the CCPO records retention schedule.

2100-2 B.

CHILD CARE PROGRAM OFFICE CHILD CARE GRANT 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 Integrated Child Care Information System (ICCIS) number if there are multiple child care facilities with the same name. CCG files are retained for three 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 drawer of the filing cabinet labeled with CLOSED CCG.
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 Program, the Eligibility Staff will move the CCG monitor file from the drawer containing active files to the drawer of the filing cabinet labeled with CLOSED CCG.

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.

2100-2 C. CHILD CARE PROGRAM OFFICE CHILD CARE GRANT RECORDS RETENTION - ADMINISTRATIVE STAFF

The Administrative Staff will identify CCG Program files for destruction based on the CCPO retention schedule after the close of each state fiscal year.

CCG Program files in the Closed CCG drawer will be pulled after the end of the third fiscal year of their closure. A list is made of each file identified to be destroyed.

CHILD CARE GRANT ADDENDA

ADDENDUM 1 CHILD CARE GRANT RATE SCHEDULE