Financial Assistance Policy Guide
For Families, Caregivers, and Service Providers
2013
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Chapter 1: How Do I Get on the Waiting List?

The EEC centralized waiting list for financial assistance is the only waiting list for EEC financial assistance. As a general rule, placement on the EEC waiting list is the first step in the process for families to access EEC financial assistance.

1.1 Placing Families on the EEC Centralized Waiting List

A How to Access the Waiting List. Families may access the waiting list by contacting any waiting list administrator, including MASS 2-1-1, any Child Care Resource & Referral (CCR&R) agency, contracted provider, coordinated family and community engagement agency, or Head Start program that accepts EEC financial assistance placements.

B Requirement Prior to Enrollment. Families who seek EEC financial assistance (e.g., through vouchers or contracts) must be placed on the EEC centralized waiting list to access EEC financial assistance.

Exceptions to the waiting list requirement:

1. Families who have received a Department of Transitional Assistance (DTA) Authorization;
2. Families who have received a Department of Children and Families (DCF) Authorization for Supportive Child Care;
3. Families who have received a DCF referral for Homeless Child Care; and
4. Families who have received a Department of Housing and Community Development (DHCD) referral for Homeless Child Care.

C Child Status Codes. All children placed on the waiting list must be assigned one or more child status codes, regardless of access point.

D Verbal Confirmation of Eligibility. All families entered onto the EEC centralized waiting list must declare that they meet required EEC income eligibility:

E Date Child Care Needed. Families seeking child care financial assistance in Massachusetts may either have an immediate need for services or a need for services in the future. Circumstances in which a family may need care in the future include:

1. Pregnancy;
2. Family member currently caring for child will be unable to care for the child at a future date;
3. Child is going to age out of a program; OR
4. Summer only care (i.e., child requires care only for summer).
1.2 Waiting List Child Status Codes

All children placed on the EEC centralized waiting list should receive one or more of the following child status codes. EEC uses codes to better understand the population of families seeking child care subsidy in Massachusetts and categorizes families as 'new families' or as 'continuity of care'.

<table>
<thead>
<tr>
<th>Status Codes for New Families</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child Status Code</td>
</tr>
<tr>
<td>Child in Foster Care</td>
</tr>
<tr>
<td>Child of Homeless Family</td>
</tr>
<tr>
<td>Child of Military Personnel</td>
</tr>
<tr>
<td>Child of Teen Parent</td>
</tr>
<tr>
<td>Child in Legal Guardianship</td>
</tr>
<tr>
<td>Parent with Special Needs</td>
</tr>
<tr>
<td>Child with Special Needs</td>
</tr>
<tr>
<td>Sibling: Contract</td>
</tr>
<tr>
<td>Sibling: Voucher</td>
</tr>
<tr>
<td>Summer Only Care</td>
</tr>
<tr>
<td>General Priority</td>
</tr>
</tbody>
</table>
## Status Codes for Continuity of Care

<table>
<thead>
<tr>
<th>Child Status Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuity of Care: Aging-Out</td>
<td>A child currently receiving EEC financial assistance who exceeds the age limit for the program (e.g., a child aging out of a program or a contracted slot, where no other contracted slot is available).</td>
</tr>
<tr>
<td>Continuity of Care: Approved Break in Service</td>
<td>A child:</td>
</tr>
<tr>
<td></td>
<td>• who was removed from an EEC financial assistance program whose parent/guardian has predictable and verifiable breaks in work schedule which include those working in a school system who do not work during summer vacation (e.g., bus drivers, teachers, aides, janitors, cafeteria workers, etc.), and those who experience predictable seasonal employment;</td>
</tr>
<tr>
<td></td>
<td>• whose parent/guardian is participating in education/training activity with a summer break;</td>
</tr>
<tr>
<td></td>
<td>• whose parent/guardian chooses to un-enroll their child from EEC financial assistance to allow for travel or alternate care for a specified period of time not to exceed 90 days; and/or</td>
</tr>
<tr>
<td></td>
<td>• who is enrolled in programs that only operate on the school calendar.</td>
</tr>
<tr>
<td>Continuity of Care: Geographic Relocation</td>
<td>A child currently receiving EEC financial assistance who moves to another town/city in Massachusetts (e.g., a child in a contracted slot relocates and no other contracted slot is available in that area).</td>
</tr>
<tr>
<td>Continuity of Care: Homeless Contract</td>
<td>A child currently receiving EEC financial assistance through a homeless shelter contract who finds housing and/or completes diversion or housing stabilization program.</td>
</tr>
<tr>
<td>Continuity of Care: Supportive Referral</td>
<td>A child who received EEC financial assistance as a result of a DCF referral (e.g., supportive child care, foster parent) and is leaving DCF supportive care or is being adopted out of foster care.</td>
</tr>
<tr>
<td>Continuity of Care: Teen Parent Contract</td>
<td>A child currently receiving EEC financial assistance through a Teen Parent Child Care Contract (TPCC) who has a parent who is aging out of this program (turning age 20).</td>
</tr>
<tr>
<td>Continuity of Care: Prior Year Summer Only</td>
<td>A child who: (1) requires summer only child care; <strong>AND</strong> (2) received a summer only child care subsidy during the prior fiscal year.</td>
</tr>
</tbody>
</table>

**NOTE:** The term “Continuity of Care” refers to the *continuation* of EEC financial assistance services only for a child who *already* receives EEC financial assistance in the form of an EEC contract or voucher, provided that the child maintains EEC eligibility.

Please review the Variances section contained in Chapter 3 of this guide or e-mail bulletinquestions@massmail.state.ma.us if a family presents extraordinary circumstances above and beyond those reflected by these child status codes who you believe would warrant immediate access to EEC financial assistance.
Chapter 1: How Do I Get on the Waiting List?

1.3 Communicating with Families on the Waiting List

To ensure accuracy of the data on the waiting list and the continued need for child care services, you will receive several written communications from the EEC once you have been placed on the waiting list.

**A Confirmation Letters.** EEC issues confirmation letters to all new families on the waiting list. These letters instruct families to review the information and verify its accuracy, and to contact a waiting list administrator to declare any changes.

**Parent Responsibility for Accuracy.** Families are responsible for ensuring the accuracy of the information they provide when they place their name on the income eligible waiting list. When changes occur, updates should be made promptly.

**B Renewal Letters.** Renewal letters are sent to families on the waiting list whose application has not been updated in the previous 12 months. Families may directly update their information online or may contact MASS 2-1-1, Coordinated Family and Community Engagement Agencies, any CCR&R, any contracted provider, or any Head Start programs that accept EEC financial assistance placements.

**C Funding Availability Letters (FAL).** Subsidy administrators (e.g., CCR&Rs or Contracted Providers) must use the centralized waiting list to identify families seeking subsidized child care. When funding becomes available, subsidy administrators will issue FALs to families on the waiting list on a first-come, first-serve basis in descending order (starting with the earliest date).

1. **Time Is of the Essence.** Families must contact the subsidy administrator that issued the FAL within 15 days of the date of the letter to schedule an appointment. Failure to respond in a timely manner may jeopardize the funding opportunity.

2. **Telephone Contacts.** In addition to issuing funding availability letters, subsidy administrators may also call families in order to expedite the process.

3. **Selection of Providers.** Families who have been offered EEC financial assistance but have been unable to find care within 30 days may continue to look for care or may be placed back on the EEC centralized waiting list using their original waiting list date.

**D Targeted Funding Opportunities.** From time to time, EEC may ask subsidy administrators to prioritize a particular population to be served.

1. **Identifying Priority Populations.** To target families who need funding at once, a subsidy administrator will perform a search for families with one or more of the child status codes identified for immediate access. Before a FAL is issued to any family with an immediate access category, the family must be added to the EEC centralized waiting list and immediately marked as placed. The step of adding the family to the waiting list is critical for EEC to monitor caseloads and available funding.
2. Incorrect Child Status Codes. If a subsidy administrator issued a FAL to a family that no longer qualifies for the child status code that identified the family for immediate access, the family will be placed back on the waiting list with the appropriate child child status code, with the family’s original waiting list date.

1.4 Removing Families from the Waiting List

It is essential that waiting list administrators remove families from the EEC centralized waiting list and archive the families’ or children’s records to ensure accurate data.

A Reasons for Removal from the Waiting List. Families will be removed from the centralized waiting list under any of the following circumstances:

1. Failure to Maintain Accurate Contact Information. A letter is returned to sender via mail as undeliverable;

2. Over Income. Family does not meet EEC income requirements;

3. Over Age Limitations. Any child on the wait list age 13 or older will be removed from the waiting list, unless the family has identified the child as special needs. If the child is identified as special needs, any child age 16 or older will be removed from the waiting list;

4. Care No Longer Needed. Family indicates that they are no longer waiting for care or financial assistance; OR

5. Care Refused. Families who are offered access to financial assistance on 3 occasions, and refuse to accept the offer, will be removed from the waiting list after the third refusal.

B Notice of Removal Required. Families removed from the EEC centralized waiting list must be sent a letter informing them of their removal and explaining the reinstatement process. If no valid contact information is available, a notation should be made in EEC’s centralized waiting list.

1.5 Reinstating Waiting List Records

If a family that has been removed from the waiting list contacts an administrator within 6 months of their removal, the family may be placed back on the waiting list using their original waiting list date.
Chapter 2: How Do I Get a Child Care Subsidy?

This chapter explains the general steps you need to take in order to receive child care financial assistance from the state. EEC’s regulations regarding subsidized child care can be found at 606 CMR 10.00 et seq. and are located on EEC’s website at http://www.mass.gov/edu/birth-grade-12/early-education-and-care/laws-regulations-and-policies/financial-assistance-regulations-and-policies.

2.1 Application for Child Care Subsidy

After receiving a funding availability letter or a referral for child care services from DCF, DTA or DHCD, parents may apply for a child care subsidy by contacting the appropriate subsidy administrator, either an EEC contracted child care program or CCR&R agency.

A Application and Fee Agreement. Each parent must complete an Application and Fee Agreement upon initial assessment for EEC child care subsidy and at each subsequent reassessment. The parent must verify the information provided through documentation, as required by the regulations and policies of the Commonwealth.

Accuracy of Application. Providing false or misleading information may result in termination of the subsidy, ineligibility for any further EEC child care subsidy, an obligation to repay the cost of child care, and/or the assessment of a civil fine.

B Contact Information. Each parent who receives EEC child care subsidies is responsible for maintaining current contact information (i.e., address, telephone number, or e-mail) with his/her subsidy administrator.

NOTE: EEC requests certain information from parents seeking child care subsidies to assist the Commonwealth in establishing a longitudinal data system; however, no parent will be denied access to child care subsidies for failure to provide social security numbers, city of birth, or middle names.

2.2 Documentation Requirements

All documentation that verifies eligibility will be maintained in each family’s file. All documentation must be readily available at the time of application. Any documents that meet the eligibility requirements will be accepted. For your convenience, EEC examples of acceptable documentation are provided throughout this guide.
Documents in foreign languages must be translated prior to submission. Subsidy administrators will offer translation services if resources are available or if their contract with EEC specifies that they must do so.

For the **initial application**, parents must submit documentation that verifies each of the following data elements, unless the regulations or policies of the Commonwealth specifically state an exception:

1. Identity of the applicant(s);
2. Massachusetts residency;
3. Citizenship or immigration status of any child seeking child care subsidies;
4. Total gross household income;
5. Service need for each parent on the application; **AND**
6. Relationship of the parent to all children and dependent grandparents in the household.

For each **reassessment**, parents must submit documentation that verifies their continued eligibility for child care subsidy, unless the regulations or policies of the Commonwealth specifically state an exception:

1. Massachusetts residency;
2. Current total gross household income; **AND**
3. Ongoing service need for each parent on the reassessment application.

### 2.3 Family Composition and Relationship Requirements

Parents applying for child care subsidies must list all family members residing in the household and attest to the accuracy of this list when they complete and sign an Application and Fee Agreement. All subsidy applicants are subject to the general eligibility requirements regardless of whether they were referred, received an FAL letter, or otherwise.

**Definition of Family.** For the purposes of determining eligibility for EEC financial assistance, a family is defined as one of the following:

1. A parent and his/her dependent children and any dependent grandparents who reside in the same household.
2. A teen parent and his/her children who reside in the same household.

Parents of teen parents may only include the teen parent and his/her child(ren) in the family composition if the teen parent is NOT receiving an EEC child care subsidy for his/her child(ren).
Definition of Parent. A “parent” is a biological or adoptive parent, a stepparent, legal guardian, foster parent, or a caretaker, as defined under 606 CMR 10.02.

1. Two-Parent Families. If a household includes two parents, both parents will be included when determining family size.

2. Teen Parent Families. A teen parent is a parent younger than 20 years old. The applicant must submit adequate documentation to verify the teen parent’s age. Examples of acceptable documentation include:
   (a) Birth certificate,
   (b) Driver’s license, OR
   (c) Other government issued identification (e.g., state identification card, military dependent’s card, or passport).

C Relationship to Minors in Family. Parents will need to provide documentation to verify their relationship to each child under the age of 18, or under the age of 24 if the child is a full-time student and is financially dependent on the parent(s) applying for child care financial assistance. Examples of acceptable documentation include:
   1. Birth certificates;
   2. Hospital birth records;
   3. Copies of previously issued EEC child care authorizations or vouchers;
   4. Social security benefits records;
   5. Court orders establishing custody or guardianship; OR
   6. School records verifying the address of the child, as well as the name and relationship of the relative responsible for the child.

D Relationship to Dependent Grandparents in Family. Grandparents may be included as dependent members of the family if they have been claimed as dependents on the applicant’s federal income tax return. The applicant must submit a copy of his/her most recent federal income tax return to verify the dependent status of the grandparent(s).

E Additional Documentation Requests. Subsidy administrators may request additional documentation if they have reason to believe that a parent has not accurately reported his/her family composition and size. Examples of situations wherein a subsidy administrator may request additional documentation include, but are not limited to, the following:
   1. Marital status noted on supporting documentation, but no second parent reported on the application;
   2. Contradictory family composition identified in data matches with other government agencies;
   3. Reports of new births; OR
   4. Data from child care program contradicts information reported on the parent’s Application and Fee Agreement.
Documentation linking an individual to a specific address may also be requested. This may include, but is not limited to, a copy of any bill, preferably a utility bill, dated within 45 days of the eligibility assessment.

### 2.4 Identity of Parent(s)

Subsidy administrators will verify the identity of each parent applying for subsidized child care. Documentation of identity must include original, valid, and unexpired documents, and only needs to be submitted once. Documentary evidence must contain a photo of the applicant. Examples of acceptable documentation include:

- U.S. passports;
- Certificates of naturalization;
- Driver’s licenses;
- Permits or state identification cards;
- U.S. military cards;
- Non-U.S. passports; **OR**
- School identification cards.

### 2.5 Massachusetts Residency and Location of Child Care

#### A Household Residency. Child care applicants must be residents of the Commonwealth of Massachusetts. Documentation of residency must be updated annually or at each reassessment, whichever comes first. Acceptable proofs of residency must show that the applicant’s current primary address is located within the Commonwealth. Post Office Box addresses and 911 emergency residence verifications will not be accepted as proof of residency.

Examples of acceptable documentation to verify Massachusetts residency include:

- Utility bills issued within the most recent 45 days;
- Property tax bills;
- Individual income tax returns for the most recent year;
- Mortgage documents or home owner insurance documents;
- Vehicle registration cards;
- Residential rental or lease agreements; **OR**
- Letters from shelter programs confirming residence in a Massachusetts shelter program.

#### B Location of Care. Child care subsidies administered by EEC may only be used for child care provided within the Commonwealth of Massachusetts.
2.6 Citizenship and Immigration Status of Children

To determine eligibility for child care financial assistance in Massachusetts, the citizenship and/or immigration status of each child for whom care is requested must be verified.¹ These verifications are not required for the parent(s) and/or caretaker(s) because the child is considered the primary beneficiary of child care subsidy.² To qualify, the child must be a U.S. citizen, a non-U.S. citizen national, or a qualified alien. Applicants who cannot provide verification of citizenship or immigration status for the child are not eligible.

Examples of acceptable documentation include:

- U.S. passports;
- Birth certificates; OR
- Reports of birth abroad.

The law regarding U.S. citizenship and nationality is complex and constantly changing; therefore, no child shall be denied child care financial assistance based solely on an applicant’s failure to demonstrate citizenship or immigration status without final review by EEC.

For additional guidance, please refer to Appendices A (Evidence of United States Citizenship, United States National Status, or Alien Status) and B (Desk Guide to Non-citizen Eligibility for Child Care Financial Assistance).

2.7 Attendance

All children who receive EEC child care subsidies are expected to attend the early education and care program in accordance with the terms of the child care authorization. Child care providers are required to make every effort to ensure that each child care slot is filled or each voucher is used at all times.

Absence due to illness, emergencies, and a maximum of two weeks vacation per year are considered explained absences. All other absences are considered unexplained. Excessive absence (30 absences in a 6-month period or 3 consecutive unexplained absences) will result in a reassessment of the family’s need for child care. The 6-month periods are based on the calendar year, i.e., January to June and July to December. When a child is enrolled in a program, absences will be pro-rated of up to 5 days per month.

¹ Child care subsidies in Massachusetts are funded, in whole or in part, by the federal Child Care Development Fund (CCDF). CCDF is a federal block grant that is considered a “federal public benefit” under the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA).

² The Administration for Children and Families (ACF) confirmed that CCDF is a “federal public benefit” within the meaning of PRWORA and that the child is the primary beneficiary of the benefit. See ACYF-PI-CC-98-08. Based on this designation, federal law and policy requires that states verify the citizenship and immigration status of the child as a condition of eligibility for child care financial assistance programs funded, in whole or in part, by the CCDF program.
A Providers will take the following actions to ensure maximum attendance:

1. Upon enrollment, your child care providers must explain the Attendance Notification Agreement (http://www.mass.gov/edu/docs/eec/forms-techasst/financial-assistance/income-eligible/ie-attendance-notifi.pdf) to parents/guardians and have them sign it. When unexplained or excessive absences occur, the Provider/System will contact the parent/guardian to determine the validity of the absences and verify the need for continued subsidized care. The provider will request written verification (i.e., signed notes from parents/guardians) for excused absences. The notes must contain the names of the children absent, the dates of the absences, and the reason for the absences.

2. When children are absent and the family does not call, the child care provider will call the family to determine if the child has withdrawn from services.

3. Excessive absence (30 absences in a 6-month period or 3 consecutive unexplained absences) will result in immediate reassessment of the family’s continued need for child care. Providers must contact the family immediately when a child has more than 3 consecutive unexplained absences or 30 absences within a 6-month period. A doctor’s note that includes why a child is ill with expected return date will be required for illnesses lasting more than 10 days. If a child is absent often, the provider may request supporting documentation for absences of shorter duration. If a child is absent excessively (consecutively or not), the contracted provider will determine if the absences are reasonable, or if they suggest a misuse of services. (Non-contracted providers accepting voucher payment should discuss concerns regarding excessive absence with the CCR&R agency.) The provider will determine whether or not the child has a documented chronic condition that would reasonably allow for a greater number of absences. If a child will be absent from care for an extended period due to illness, visits with a non-custodial parent, or a temporary break in the parent’s employment, the subsidy should be terminated. If the absence is for 12 weeks or less, the child will be prioritized for enrollment at a later date in accordance with enrollment priority and continuity policy.

Failure to attend the child care program may result in the termination of the child care subsidy in accordance with 606 CMR 10.13. Children will not be authorized for early education and care on days they are regularly scheduled to be absent (i.e., every Friday, homework clubs, etc.).

B Payment for Child Care Absences. Educators/Providers will not be paid for more than 30 child absence days in a 6-month period, or more than 3 consecutive unexplained absences without written approval from EEC.

C Late Arrival. Providers will establish policies for children’s arrival and departure times. These policies will be provided to parents in writing prior to implementation. Providers may not exclude children from care who arrive late. However, care may be terminated (following a 2-week Advance Notice of Termination) if parents consistently fail to follow the provider’s policies.
2.8 Reporting Changes in Eligibility

All families are responsible for reporting changes that might affect their eligibility. Substantial changes must be reported immediately, but no later than 14 days after the change.

Subsidy administrators must notify families that routine or minor income increases could impact eligibility for child care assistance at each assessment. For example, if a family’s total household income is at or near 85% of the SMI, the subsidy administrator should notify the family that a routine or minor change may mean that the family is no longer eligible for child care assistance.

A Reporting substantial changes. Changes that need to be reported may include:

1. Significant changes in income (i.e., 20% or more increase);
2. Service need change (i.e., job loss, new employer, change in work or school/training schedule);
3. Change in address;
4. Change in family size (i.e., new household members);
5. Termination of TAFDC cash assistance, for DTA referrals; OR
6. Any other change that may affect eligibility.

Although minor changes in income (e.g., less than 20%) are not required to be reported, they occasionally impact a family’s eligibility. It is in the best interests of all families to report any change in income to their subsidy administrator.

If a family reports changes that may impact the family’s income, household composition, or service need prior to the expiration of a voucher or authorization, the CCR&R or contracted provider/system will determine if the change requires a reassessment of eligibility or co-payment.

B Reporting Method. Changes and supporting documentation may be reported in-person or by mail, e-mail, or fax. Subsidy administrators do not require a face-to-face reassessment.

C Documenting Changes. All reported changes must be documented, in writing, in the case file, regardless of the need to conduct a reassessment or change the co-payment.

D Implementation date. If the reported change results in an increase in the family’s co-payment, the effective date of the new co-payment will be the first day of the month after the information is received by the CCR&R or contracted provider/system.

If a parent reports a change of income resulting in parent fee reduction, the subsidy administrator will implement the new fee immediately upon receiving documentation.

E Reporting non-substantial changes. Unless there is a substantial change, the family is not required to report the change, and the subsidy administrator is not required to re-determine the family’s co-payment before the 12-month reassessment.

F Failure to Report. A family’s failure to report a substantial change in family status to their subsidy administrator within 14 days may result in the termination of financial assistance and/or demand for reimbursement of any improper payments resulting from this violation.
Chapter 3

Am I Eligible?

This chapter outlines the financial and participation requirements for families who wish to receive aid.

3.1 Income Eligible Program Requirements

A Eligibility Criteria – In addition to the requirements set forth in the General Provisions for child care subsidies detailed in this chapter, parents must establish both:

1. Financial eligibility; AND
2. Service need/approved activity requirements.

B Eligible Programs. Income Eligible Child Care subsidies are available to eligible parents for early education and care programs that are contracted with EEC to provide Income Eligible services or voucher agreements with CCR&R agencies.

3.2 Financial Eligibility

A Income Thresholds. Total gross household income must not exceed the eligibility thresholds established by federal and state law. Please refer to Appendix C to determine the appropriate standards, which are based on gross monthly income and family size.

1. General Rule. Families seeking EEC child care subsidies satisfy the financial requirement by demonstrating a total gross household income at or below 50% of the SMI.

Income Threshold at Reassessment. Families may remain eligible for child care subsidies if the total gross household income remains at or below 85% of the SMI.

2. Families with Special Needs/Disabilities. Families with a child or parent with a documented special need satisfy the income requirement by demonstrating a total gross household income at or below 85% of the SMI.

Income Threshold at Reassessment. Families may remain eligible for child care subsidies if the total gross household income remains at or below 100% of the SMI.

B Relevant Income. Families need to submit documentation of income for all required individuals from all relevant sources, as detailed below.
1. **Household Members.** The subsidy administrator must obtain documentation verifying the earned and unearned income of each member of the family, including parents (biological, adoptive, or stepparent), and dependent grandparents, as well as all dependent children.

   (a) **Non-Required Adult Household Members.** Income from legal guardians, foster parents, caretakers or other household members (i.e., relatives or unmarried partners) will not be included in the total household income calculation.

   Income verification will be required for households headed by guardians, foster parents, or caretakers, in order to determine a service need of paid employment.

   (b) **Dependent Children.** Earned income from dependent children shall not be included in the total household income calculation.

2. **Income Sources.** Parents must submit documentation of all relevant sources of earned income, including salaries/wages, business income, tips and commissions, as well as any unearned income, as detailed below.

3. **Excluded Income.** Income that is excluded from income eligibility determination is listed in Appendix D.

4. **Self-Employment Expenses.** Self-employment income is calculated by taking the gross receipts from the business and subtracting allowable business expenses.

   (a) **Allowable Business Expenses.** Allowable business expenses include expenses that are necessary for the operation of the business and that are commonly accepted and appropriate in the business. All business expenses are subject to review and verification by EEC, through receipts, business records, and other documentation, to ensure that they are allowable. Examples of allowable business expenses include:

   (1) Amounts paid for any items necessary for the business, such as materials and supplies, advertising costs, repairs, legal and professional services;

   (2) Amounts paid for employee salaries and taxes on those salaries as well as any employee benefit plans (i.e., health insurance or retirement plans for employees);

   (3) Amounts paid for equipment, machinery, and other capital assets and durable goods (i.e., items used in the business that are expected to last a long time such as a delivery van);

   (4) Amounts paid for ownership or rental of commercial property (e.g., monthly mortgage or rent for office building, office space, workshop, or other place of business);
(5) Amounts paid for business insurance (if the home is used for business purposes, parent/guardian may deduct amounts paid only for commercial property insurance, but not for homeowner’s or renter’s insurance);

(6) If the home is used for business purposes, only the business portion of residential expenses may be deducted (e.g., separate business phone line and any extra utility costs that can be attributed to the business);

(7) If a personal car or truck is used for business purposes, only the business portion of these costs may be deducted; and

(8) Mileage expenses between business sites, except for the mileage from home to the first business site and from the last business site to home.

(b) Unallowable Business Expenses. Some business expenses, such as depreciation and depletion, which are allowed by the IRS, are not allowable deductions for determining eligibility for EEC financial assistance because they do not accurately reflect the actual income available to a self-employed individual to meet his/her living expenses. Examples of business expenses that are not allowable include the following:

(1) Personal expenses, such as the parent’s/guardian's health insurance premiums, life insurance premiums, or retirement benefits;

(2) Taxes that parent/guardian pays on his/her net income, including Social Security, federal, and state taxes;

(3) Monthly mortgage or rental payment for the home;

(4) Depreciation; and

(5) Business losses from prior months/years.

C Verifying Income

Unless excluded in Appendix D, any earned and unearned income for all required household members should be reported to the subsidy administrator. Verification of income sources is dependent on the nature and type of the income source, as detailed below.

1. Earned Income from paid employment (not self-employed). Parents/guardians must submit one of the following:

   (a) Existing/Established Employment. Pay stubs representing 4 out of the 6 most recent weeks of employment. 

   (1) Unavailability of Pay Stubs. If an applicant is unable to provide pay stubs, he/she must submit other documentation of his/her income, such as:

   (i) Personal Checks/Money Orders. Copies of cancelled checks or money orders reflecting payment for 4 weeks out of the 6 most recent weeks, as well as copies of their most recent federal tax returns (including W-2 forms and tax return transcript).
(ii) **Cash.** Applicants must submit the Employment Verification form as well as copies of their most recent federal tax returns and tax transcript.

(2) **Independent Contractors.** An individual who works exclusively for one employer as an independent contractor, but has no business expenses and is treated by that employer as an employee in every respect, except for the withholding of taxes, is not required to submit the Report of Self-Employment Earnings form. These individuals should provide EEC with copies of pay stubs, paychecks, or other documentation of their income for one month (4 weeks within the most recent 6-week period) along with a signed copy of their most recent federal income tax return, including form 1099, and a tax return transcript for their most recent federal income tax returns. The purpose of collecting the tax return transcript (which the parent can obtain by submitting IRS Form 4506-T to the IRS) is to verify that the income tax returns submitted to EEC are consistent with those submitted to the IRS.

(b) **Newly Employed.** Applicants who have been employed for less than 4 weeks and, as a result, cannot submit the required pay stubs must complete an Employment Verification Form (EVF), included in Appendix E.

Child care subsidies will be authorized for 8 weeks to allow newly employed applicants to supplement the file with actual pay stubs, in accordance with the policy set forth above.

2. **Earned Income from Self-Employment.** Self-employment is the earning of income directly from one’s own business, trade, or profession. A self-employed individual exercises control over how the business is conducted, (i.e., the methods and means of performing services or making/selling goods to others). An individual is self-employed if he/she:

   - Earns income directly from his/her own business;
   - Is responsible for obtaining or providing a service or product;
   - Cannot be discharged from their employment by someone else;
   - Is not required to have federal income tax, Social Security tax, and Medicare tax payments withheld from their earnings; **AND**
   - Is not required to complete an IRS W-4 form for an employer.

Verification of self-employment income is determined based on the nature of the existing self-employment venture, as detailed below:

(a) **Establishing Self-Employment.** All self-employed applicants, whose income is reflected in his/her most recent federal tax returns, must provide the following documents to establish income eligibility:
(1) **Reported Earnings for Previous 3 Months.** EEC’s Report of Self-Employment Earnings form, which is included in Appendix F.

Subsidy administrators reserve the right to request receipts or other supporting documentation to verify the revenues and/or deductions.

(2) **Verification of Self-Employment Business.** Copies of business records, such as:

   (i) Registration with the Massachusetts Department of Revenue;
   (ii) Doing Business As (DBA) certificate;
   (iii) Required licenses;
   (iv) Certificate of incorporation; OR
   (v) Other documentation verifying the business.

(3) **Federal Tax Filings.** Copies of most recent federal tax returns, including all applicable schedules.

(4) **Federal Tax Transcript.** A transcript for most recent federal tax returns (which may be obtained by submitting IRS Form 4506-T to the IRS) to verify that the income tax returns submitted to EEC are consistent with those submitted to the IRS.

(b) **Newly Self-Employed.** Applicants who meet the definition of self-employment whose self-employment business has been established for 3 or more months but from which income is NOT reflected in his/her most recent federal tax returns, must submit the following documents:

(1) **Reported Earnings for Previous 3 Months.** EEC’s Report of Self-Employment Earnings form, which is included in Appendix F.

Subsidy administrators reserve the right to request receipts or other supporting documentation to verify the revenues and/or deductions.

(2) **Verification of Self-Employment Business.** Copies of business records, such as:

   (i) Registration with the Massachusetts Department of Revenue;
   (ii) Doing Business As (DBA) certificate;
   (iii) Required licenses;
   (iv) Certificate of incorporation; OR
   (v) Other documentation verifying the business.

(3) **Federal Tax Filings.** Copies of federal tax returns for the first year of self-employment, including all applicable schedules, must be submitted upon reassessment. Reassessment must take place no later than April 30th or within 12 months of the last assessment, whichever comes first.
(4) **Federal Tax Transcript.** A transcript for the first year of self-employment (which may be obtained by submitting IRS Form 4506-T to the IRS) must be submitted upon reassessment to verify that the income tax returns submitted to EEC are consistent with those submitted to the IRS.

(c) **Newly Self-Employed.** Applicants who meet the definition of self-employment, but whose self-employment business has been established for less than 3 months and income is not reflected in his/her most recent federal tax returns, must provide the following documents:

(1) **Reported Earnings for Previous 3 Months.** EEC’s Report of Self-Employment Earnings form, which is included in Appendix F, without the Monthly Self-Employment Worksheets.

   (i) After an initial 12-week eligibility period, applicants must submit an updated Report of Self-Employment Earnings form, including completed Monthly Self-Employment Earnings Worksheets for the previous 3 months.

   (ii) Subsidy administrators reserve the right to request receipts or other supporting documentation to verify the revenues and/or deductions.

(2) **Verification of Self-Employment Business.** Copies of business records, such as:

   (i) Registration with the Massachusetts Department of Revenue;

   (ii) Doing Business As (DBA) certificate;

   (iii) Required licenses;

   (iv) Certificate of incorporation; OR

   (v) Other documentation verifying the business.

(3) **Federal Tax Filings.** Copies of federal tax returns for the first year of self-employment, including all applicable schedules, must be submitted upon reassessment. Reassessment must take place no later than April 30th or within 12 months of the last assessment, whichever comes first.

(4) **Federal Tax Transcript.** A transcript for the first year of self-employment (which can be obtained by submitting IRS Form 4506-T to the IRS) must be submitted upon reassessment to verify that the income tax returns submitted to EEC are consistent with those submitted to the IRS.

**3. Income from Self-Employment Businesses.** A self-employment business can be organized in a variety of ways, including a sole proprietorship, partnership, corporation, or S corporation. The required tax forms and the calculation of income received from a self-employment business will differ depending on how the business is organized.
(a) **Sole Proprietorship.** A trade or business owned and operated by an individual in which all profit and loss belongs to that individual.

(1) **Required Forms.**

   (i) IRS Form 1040;
   (ii) Schedule C (Form 1040)-Net Profit or Loss from Business (Sole Proprietorship) or Schedule C-EZ-Net Profit from Business;
   (iii) Schedule SE (Form 1040)-Self-Employment Tax (Sole Proprietorship); **AND**
   (iv) Any other applicable schedules.

(2) **Calculation of Income.** Gross receipts minus allowable business expenses.

(b) **Partnership.** An agreement by 2 or more individuals to contribute money, skills, and/or labor to a business and share the profits, losses, and management.

(1) **Required Forms.**

   (i) IRS Form 1040, and all applicable schedules; **AND**
   (ii) IRS Form 1065-U.S. Return of Partnership Income.

(2) **Calculation of Income.** Gross receipts minus allowable business expenses, divided by the number of partners, if they all own an equal share, or by the percentage of the business owned by the self-employed parent/guardian, if ownership is not shared equally.

(c) **Corporation.** A distinct legal entity separate and apart from the individuals who comprise it. Corporations must file articles of incorporation with the Secretary of the Commonwealth.

(1) **Required Forms.**

   (i) IRS Form 1040, and all applicable schedules; **AND**
   (ii) IRS Form 1120-U.S. Corporate Income Tax Return.

(2) **Calculation of Income.** Gross receipts minus allowable business deductions. If an individual is paid a salary by the corporation, then the individual is not self-employed. The salary is considered wages, and any distribution of profits from the corporation is counted as additional income.

(d) **S-Corporation.** A small corporation with a limited number of shareholders which elects to be taxed as a partnership.

(1) **Required Forms.**

   (i) IRS Form 1040, and all applicable schedules; **AND**
   (ii) IRS Form 1120S-S U.S. Income Tax Return.
(2) **Calculation of Income.** Gross receipts minus allowable business deductions, plus any in-kind compensation paid to the owners, such as payment of personal bills and expenses directly from the business. If personal bills and expenses are paid by the S corporation, these amounts should be included as part of the income received.

4. **Income from Other Sources.** In addition to income from paid employment, applicants must report income from each of the following sources:

(a) **Alimony.** Any formal or informal spousal support received should be included in the total household income. Applicants who pay spousal support may deduct those payments from his/her total household income. Spousal support must be verified by one of the following:

   (1) Self-Declaration, in writing and signed by both parties;
   
   (2) Copy of court order; **OR**
   
   (3) Copies of check from payor.

(b) **Child Support.** Any formal or informal child support received should be included in the total household income. Applicants who pay child support may deduct those payments from his/her total household income. Child support must be verified by one of the following:

   (1) Self-Declaration, in writing and signed by both parties;
   
   (2) Copy of court order;
   
   (3) Copies of check from payor; **OR**
   
   (4) Documentation from the Department of Revenue’s Child Support Enforcement Division.

(c) **Lottery Earnings.** Lottery earnings must be verified by a statement from the state Lottery Commission indicating the amount of awards, as well as the number and amount of installment payments.

(d) **Retirement Income.** For applicants aged 65 and claiming retirement, any pension or other retirement related income must be verified by submitting copies of award letters or retirement pay stubs.

(e) **Social Security Income.** Social Security Income, including, but not limited to, survivor’s benefits, SSI, or SSDI, should be verified by submitting copies of award letters.

(f) **Unemployment Benefits.** Unemployment benefits should be verified by submitting copies of award letters.

(g) **Worker’s Compensation.** Worker’s compensation income must be verified by submitting copies of award letters.
(h) **TAFDC Cash Benefits Received for a Child in the Applicant’s Care.**
TAFDC income must be verified by submitting copies of award letters.

(i) **Net Rental Income.** Net rental income is determined by taking the total rental income less the cost of utilities, mortgage, and taxes paid. Documentation must be submitted, including the current lease/rental agreement and any deductions claimed.

(j) **Dividends or Income from Trusts/Estates.** Trust or estate income must be verified by submitting copies of checks or interest statements.

### 3.3 Service Need and Approved Activities

**A Service Need.** Service need is defined as the amount of time child care is required due to the parent’s participation in an approved activity. Each parent residing in the household can establish a full-time or a part-time service need for child care subsidy by demonstrating participation in one of the approved activities, as defined below.

1. **Part-Time Service Need.** Applicants who participate in an EEC approved activity for 20 to 30 hours per week, are eligible to receive up to 30 hours of early education and care services per week, unless otherwise approved by EEC.

2. **Full-Time Service Need.** Applicants who participate in an EEC approved activity for 30 or more hours per week are eligible to receive up to 50 hours of care per week at any one placement, unless otherwise approved by EEC.

**B Approved Activities and Verification Requirements.** Activities acceptable for establishing a service need, including verification requirements, are outlined below.

1. **Seeking Paid Employment/Job Search.** Unless otherwise restricted below, parents seeking paid employment may comply with the service need requirement as follows:

   (a) **Eligibility for New Applicants.** Parents who have not been receiving a child care subsidy and are actively seeking employment qualify for a full-time service need to look for a job for no more than 8 weeks in a 52-week period. No additional job search may be authorized.

   **DOCUMENTATION REQUIRED.** Families who are applying for EEC financial assistance for the first time do not need to submit evidence of initial job search.

   (b) **Existing Subsidy Recipients.** Parents with an existing full-time or part-time child care subsidy who fail to maintain a continuous service need qualify for the equivalent full-time or part-time service need to look for a job for no more than 8 weeks in a 52-week period.

   **DOCUMENTATION REQUIRED.** Families who claim job search as an approved activity must submit a letter from their former employer documenting termination (voluntary or involuntary). If a letter cannot be obtained, the subsidy
administrator may verify termination via phone. The date and name of the subsidy administrator and the name of the staff person at the former employer who confirmed the termination must be documented and maintained in the family’s file.

(1) **Job Search Restrictions – Students:** Parents who qualify for child care subsidies based on their participation in education or training activities will not qualify for job search during semester breaks that exceed 6 weeks.

(2) **Job Search Restrictions – Seasonal Employees:** Parents who have predictable and verifiable breaks in work schedule, including summer vacations for school system employees (e.g., bus drivers, teachers, aides, janitors, cafeteria workers, etc.), and predictable seasonal employment (e.g., landscapers), do not qualify for job search during these breaks in employment.

(3) **Job Search Restrictions – Maternity Leave:** Parents are not eligible for job search status following the completion of an approved maternity leave. However, if a parent was involuntarily separated from his/her employment during the maternity leave, job search may be requested.

(c) **Additional Job Search Available in Limited Circumstances.** Parents may request an additional 4 weeks of job search in limited circumstances, including being laid off, natural disasters; or domestic violence situations.

**DOCUMENTATION REQUIRED.** Subsidy administrators must receive written verification (e.g., letter from former employer documenting lay-off, copy of Temporary Restraining Order, copy of domestic shelter papers, etc.), prior to authorizing an additional 4 weeks of job search, in order to extend child care on the basis of job search for more than 8 weeks in a 52-week period.

2. **Paid Employment.** The following activities meet the service need requirement of paid employment:

(a) **Existing employment.** Employment is defined as a work activity in which a parent earns at least Massachusetts minimum wage.

**DOCUMENTATION REQUIRED.** Parents must submit copies of pay stubs for at least 4 weeks within the most recent 6-week period. If employed for less than 4 weeks, the parent must submit an Employment Verification Form or other statement affirming hours and rate of pay and be given up to 8 weeks to submit copies of pay stubs. If a parent is unable to have his/her employer complete the Employment Verification Form, the parent should complete his/her section of the form, which attests to the employer, nature of employment, number of weekly hours, and the rate of pay. A subsidy may then be issued for 2 weeks to allow the parent to submit copies of pay stubs, unless a further extension is needed (i.e., initial pay stub will not be issued for 3 weeks). If employment is confirmed with at least 1 pay stub, the parent’s subsidy may be extended for up to 8 weeks.
(b) **Self-Employment.** All self-employed parents must work an average of 20 hours per week and show income equivalent to minimum wage in the Commonwealth. Minimum wage will be verified by dividing the gross income reported, after allowable deductions, by the minimum wage to determine the number of hours for which the parent is eligible towards establishing a service need for child care subsidy.

**Limitations on Self Employment.** For parents engaged in home-based self-employment activities, the self-employment activity shall not qualify as an approved activity, unless:

- The type of work performed entails a clear and present danger to children; **OR**
- The primary work performed consists of face-to-face meetings/appointments with clients, preventing direct supervision of children.

**DOCUMENTATION REQUIRED.** Parents must complete the Employment Verification Form and EEC’s Report of Self-Employment Earnings Form, which can be found in Appendices E and F.

(c) **Active Military Deployment:** Parents serving in the U.S. military, including the National Guard, deployed or activated to a combat zone, hazardous duty zone, or venue for preparation for deployment to a combat or hazardous duty zone.

(1) **Two Parent Families – One Deployed.** In a two parent family where one of the parents is in the military and is deployed or activated, the second parent must be participating in at least one EEC approved activity for at least 20 hours per week to be eligible for part-time care, and 30 hours per week to be eligible for full-time care.

(2) **All Parents Deployed.** In a single parent family where the parent is a member of the military and is deployed or activated; **OR** in a two parent family where both parents are members of the military and are deployed or activated, the person responsible for the care of the child(ren) in the absence of the parent(s) must be participating in at least one EEC approved activity for at least 20 hours per week to be eligible for part-time care, and 30 hours per week to be eligible for full-time care.

**DOCUMENTATION REQUIRED.** A copy of military orders.

(d) **Retirement.** Parents may only qualify for child care subsidy based on retirement if they are aged 65 or older.

**DOCUMENTATION REQUIRED.** Verification of age and documentation of retirement income.

3. **Maternity/Paternity Leave.** Parents currently receiving a child care subsidy may take up to 12 weeks of maternity/paternity leave from paid employment and continue
to receive financial assistance provided that the parent provides documentation of his/her expectation to return to work (or another EEC approved activity, except job search as described above) at the end of the maternity/paternity leave.

(a) **New Applicant Restriction.** New applicants for child care subsidy do not qualify based on a service need of maternity/paternity leave. However, as indicated above, new applicants may initially qualify based on a job search for up to 8 weeks.

**DOCUMENTATION REQUIRED.** Letter from the employer indicating the allowance of maternity (parental) leave, the income the parent may receive during leave and the duration of the leave.

**4. Education/Training.** Parents will qualify for a service need of education or training if they are enrolled in and attending any of the following:

- full-time high school program;
- a high school equivalency program (e.g., GED);
- a vocational training program;
- an ESOL program; or
- an accredited college or university, leading to an Associate’s or a Bachelor’s degree. **Be advised that graduate, medical or law school activities are not approved activities.**

(a) **High School – Service Need.** The service need for parents participating in high school programs will be considered full time, regardless of the program schedule.

**DOCUMENTATION REQUIRED.** Written statement from the school verifying enrollment.

(b) **College Coursework.** The service need for parents participating in college coursework with 12 credit hours or more will be considered full time. For parents participating in college coursework with less than 12 credit hours, the actual credit hours shall be multiplied by 2.5 to establish service need.

(1) **Work Study, Internships and Clinical Programs.** Work study hours, required practical internships, and clinical experiences (including student teaching) will be calculated as hours of employment to determine service need. For example, if a parent is engaged in a 2-credit course, which requires 10 hours of practical experience, this “course” alone would qualify for 15 hours of service need per week.

(2) **Semester Breaks Less Than 6 Weeks.** The service need of education or training will continue through a semester break for parents registered for the following semester, provided that the semester break is less than 6 weeks.

(3) **Semester Breaks More Than 6 Weeks.** If the semester break is longer than 6 weeks, the service need will not continue unless the parent is able to demonstrate participation in another approved activity.
**DOCUMENTATION REQUIRED.** Written statement from the administration of the college/university program, specifically noting the number of credits for which the student is enrolled. For families seeking continuity of care for short-term semester breaks, a written statement from the administration of the college/university program confirming enrollment in the following semester.

(c) Vocational Training Programs, high school equivalency program, ESOL program, or Non-Credited Educational Programs – Service Need Calculation. The service need for parents participating in education or training programs (other than college or high school) is 2.5 hours of service need for each hour spent in the education or training program per week.

**DOCUMENTATION REQUIRED.** Written statement from the school or training program verifying enrollment.

5. **At Risk of Receiving Protective Services.** Children may be deemed at risk of needing protective services in circumstances, in which families are unable to provide child care for any portion of a 24 hour day due to a situation of domestic violence or homelessness; a physical, mental, emotional, or medical condition; or participation in a drug treatment or drug rehabilitation program.

(a) **Special Needs/Disabled Parents.** A parent with a documented physical or mental disability may be eligible for either full-time or part-time care.

*Limitations on Special Needs/Disabled Parents.* Service need based on the physical or mental disability of a parent may not be authorized for more than 2 years, unless approved in writing by EEC.

**DOCUMENTATION REQUIRED.** Parents must complete the Verification of Disability/Special Needs for Parent/Guardian form, found in Appendix G.1.

(b) **Homeless Families.** Parents who are homeless or at risk of homelessness, including parents who actively participate in homeless diversion and/or stabilization programs through the Department of Housing and Community Development (DHCD), the Department of Children and Families (DCF), or any other agency designated by EEC, are eligible for child care subsidy.

**DOCUMENTATION REQUIRED.** Authorization or referral from the DHCD, DCF, or any other agency designated by EEC.

(c) **Domestic Violence, Substance Abuse, or Other Special Circumstances.** Parents experiencing domestic violence, participating in substance abuse rehabilitation programs, or having other pressing circumstances may be eligible for either full-time or part-time care.

**DOCUMENTATION REQUIRED.** For families experiencing domestic violence or other pressing circumstances, a written statement from the parent’s social worker, case manager, or other social service advocate. For families participating in substance
abuse rehabilitation programs, a written statement from the program, which includes the date of entry and expected date of completion, if possible. Approval from EEC is required.

C Service Need Determinations

1. Special Needs/Disabled – Children. A parent seeking a child care subsidy on behalf of his/her child must establish at least a part-time service need. Even if the parent does not establish an independent full-time service need, these children may be eligible for full-time child care, if the supporting documentation recommends it. Documentation Required: Parents must complete a Verification of Disability/Special Needs for Children form, found at Appendix G.2.

2. Parents Who Are Family Child Care Providers. Parents who are family child care providers will not be eligible to receive EEC financial assistance to care for their own children or foster children placed in their family child care home. If inclusion of their own child or foster child in their family child care home would result in the home exceeding its licensed capacity, eligible parents may be issued EEC financial assistance for their child’s placement at another program.

D Combining Service Need Activities. Parents seeking child care subsidy may claim one or more approved activities, to demonstrate a full-time or part-time service need, provided that the combination of activities is not contradictory.

1. Service Need Combinations – Allowed. Work and education or training may be combined to meet service need requirements.

2. Service Need Combinations – Not Allowed. Seeking paid employment or the incapacity of a parent may not be combined with any other approved activity to establish a service need. In addition, a parent may not claim job search, if he/she has established a part-time service need of employment, education, or training.

E Use of Travel Time to Increase Service Need. Before travel time may be added to an applicant’s service need, the applicant must establish a minimum of at least 20 hours in an EEC approved activity.

1. Travel Time. Up to 5 hours of travel time per week may be added to a parent’s service need provided that the travel is reasonably related to the necessary time to/from the child care program and the parent’s service need activity.

2. Restrictions on the Use of Travel Time. If children are transported to/from the early education and care program by someone other than the parent, including the program, travel time is not allowed.

F Enrollment of Children Prior to the Start of or Between Service Need/Family Activity. To optimize transitions for children and families, families may enroll their children in care up to 2 weeks prior to beginning a new job, school, or training program or between activities (e.g., going from school to employment).
3.4 Requesting Policy Variances

EEC Financial Assistance policies govern eligibility and administration of early education and care subsidy funds distributed by the department. These policies address the majority of circumstances that occur in the routine implementation of the program. From time to time, however, unusual circumstances require individual resolution.

Requests for variances are limited to extenuating circumstances where lack of access to or loss of EEC financial assistance would result in extreme hardship for the family or would place an already at-risk child in greater harm. EEC will weigh the circumstances, and in its sole discretion, may allow a variance to policy.

Variances from financial assistance policy are not intended to address circumstances that present as a result of the routine application of policy, such as the presentation of alternative documentation, or the inability to secure employment within EEC’s mandated time frame.

Types of Variances

Extraordinary Circumstances include but are not limited to:

- Death, severe illness of an immediate family member, or other family crisis that impacts the family’s ability to comply with EEC standard financial assistance policy;

- Extenuating circumstances where loss of EEC financial assistance would jeopardize a child’s kinship care arrangement who otherwise would be in the care and custody of the Department of Children and Families;

- An unforeseen catastrophic event or natural disaster, such as flood or fire, that results in a family’s immediate need for temporary financial assistance to assist in stabilizing the family; or comply with EEC financial assistance policy.

Variance Process

Requests for variances should be submitted, in writing, to EEC. The final decision to grant a variance will be made by the EEC General Counsel, or her designee, within 7 calendar days of receiving the request.
Chapter 4

DTA/Employment Services Program Requirements

This chapter explains how a family can seek a child care subsidy with The Department of Transitional Assistance if a parent is participating in their Employment Services Program.

4.1 Priority Access for TAFDC Families

The Department of Transitional Assistance (DTA) may issue authorizations to a Transitional Aid to Families with Dependent Children (TAFDC) parent seeking child care subsidy to support his/her participation in DTA’s Employment Services Program, in accordance with the General Provisions for subsidized child care described at 606 CMR 10.03 and in Chapter 2 of this guide, unless otherwise noted.

A Authorization Required. Authorizations from DTA are required for parents to obtain prioritized access to child care. There are two types of child care authorizations based on the family’s TAFDC status:

1. TAFDC Families. Parents who currently receive TAFDC cash assistance and participate in the employment services program.

2. Transitional Families. Parents who received TAFDC benefits within the 12 months prior to their application for a child care subsidy and who obtain a written child care authorization from DTA.

B Information and Referral. If a family is eligible for either type of authorization, DTA will provide parents with the name and contact information of an appropriate EEC subsidy administrator (e.g., CCR&R) to identify and finalize the child’s enrollment.

C Parental Responsibility. After receiving the referral from DTA, parents should contact the subsidy administrator to obtain a voucher.

D Subsidy Administrator Responsibility. The subsidy administrator will help the parents identify a child care educator/provider.
4.2 Eligibility Criteria and Duration of Eligibility

A Eligibility Criteria. Subsidy administrators will conduct an eligibility assessment of families with DTA authorizations, as described below:

1. TAFDC Families. Subsidy administrators will review the DTA authorization and verify the identity of the parent(s). The written child care authorization is sufficient documentation for the parents to be eligible for a subsidy for each child included in the authorization.

Fee Assessment. TAFDC families with written child care authorizations from DTA shall not be charged a co-payment.

2. Transitional Families. The written child care authorization is evidence of family relationship for all children included in the authorization. Subsidy administrators will verify the identity of the parent(s) listed on the child care authorization issued by DTA, in accordance with 606 CMR 10.03(b). Parents must submit evidence of their income, service need, residence, and relationship to children or dependent grandparents not included in the authorization.

B Eligibility Period. Subsidy administrators will approve the length of time for subsidized child care based on the parent’s TAFDC status, as described below. The subsidy administrator will notify families, in writing, no less than 30 days before the period is due to end.

1. TAFDC Families. Subsidy administrators will approve the subsidized child care based on the DTA authorization, not to exceed 12 months, provided that the family continues to receive TAFDC cash assistance.

2. Transitional Families. Subsidy administrators will approve the subsidized child care based on the parent’s service need, not to exceed 12 months from the date the family’s TAFDC case closed.

4.3 Continuity of Care – Post TAFDC Closure

Parents seeking to continue eligibility at the end of the family’s DTA Employment Services authorization or termination of TAFDC benefits may continue to receive child care financial assistance through the Income Eligible Child Care program if the family meets the requirements described in 606 CMR 10.03 and 10.04.

4.4 Appeal Rights – DTA Fair Hearing Process

Parents whose child care authorization has been denied or terminated by the Department of Transitional Assistance may appeal through the DTA Fair Hearing Process.
Chapter 5

Department of Children and Families / Supportive Program Requirements

This chapter outlines how families that are referred by the Department of Children and Families for a child care subsidy can access the care they need.

5.1 Access for DCF Referred Families

The Department of Children and Families (DCF) may issue authorizations for children who are either receiving, or at risk of receiving, protective services, in accordance with the General Provisions for subsidized child care described in 606 CMR 10.03 and in Chapter 2 of this guide.

Children who are determined to be in need of protective services, including foster care, or in special circumstances in which families are unable to provide child care for any portion of a 24-hour because of domestic violence or homelessness; a physical, mental, emotional, or medical condition; or participation in a drug treatment or drug rehabilitation program will be authorized for subsidized child care by the DCF.

**A Authorization Required.** Parents must obtain an authorization from DCF to access DCF supportive child care.

1. **Authorization Establishes Relationship.** The written child care authorization is sufficient documentation for the children listed on the authorization to be eligible for supportive child care services.

2. **Identification of Applicant Required.** Subsidy administrators will verify the identity of the parent(s) listed on the child care authorization issued by DCF, in accordance with 606 CMR 10.03(b).

**B Information and Referral.** When a family is declared eligible for either type of authorization, DCF must provide parents with the name and contact information for an appropriate EEC subsidy administrator (i.e., CCR&R, Contracted Provider, or Mass 2-1-1) to identify and finalize the child’s enrollment.

**C Parental Responsibility.** After receiving the referral from DCF, parents are required to contact the subsidy administrator to obtain a voucher or a referral to a contracted child care slot, depending upon availability.

**D Subsidy Administrator Responsibility.** The subsidy administrator is required to help the parents identify a child care educator/provider.
5.2 Eligibility Criteria and Duration of Eligibility

**A Eligibility Criteria.** The written child care authorization is sufficient documentation for the parent to be eligible for a child care subsidy for each child included in the authorization.

**Fee Assessment.** DCF-referred families with a written child care authorization may not be charged a co-payment. Decisions to waive co-payments are conducted on a case-by-case basis by DCF social workers.

**B Eligibility Period.** DCF may initially authorize children for subsidized child care for up to 6 months.

1. **Supportive Child Care Renewals.** DCF may renew the authorization one time for up to 6 months. Any requests for additional renewals must be approved by the DCF director of areas.

2. **Transitional Supportive Child Care (TSCC).** DCF may continue the supportive child care service beyond the closure of the DCF case for up to 6 months.

3. **Notice of Expiration.** The subsidy administrator is required to notify families, in writing no less than 30 days before their eligibility period is due to end.

5.3 Continuity of Care

Parents seeking to continue eligibility at the closure of the family’s subsidized child care may continue to receive financial assistance through the Income Eligible Child Care program if the family meets income eligibility requirements.

5.4 Appeal Rights

**Denial or Termination of Authorization.** Supportive Child Care Services will end when the protective case closes, or when DCF determines that services are no longer appropriate, whichever comes first. Parents who wish to appeal the termination of services may do so through the DCF Fair Hearing Process.
Chapter 6: Teen Parent Child Care Services Program

This chapter explains how a teen parent can get the child care services they need.

Teen parents may be eligible to receive subsidized child care through the Teen Parent Child Care Services program, in accordance with the General Provisions for subsidized child care described at 606 CMR 10.03 and in Chapter 2 of this guide, if they meet the following requirements:

A **Definition of Teen Parent.** A teen parent is a parent younger than 20 years old. The applicant must submit adequate documentation to verify the teen parent’s age. Examples of acceptable documentation include:

1. Birth certificate,
2. Driver’s license, OR
3. Other government issued identification (e.g., state identification card, military dependent’s card, or passport).

B **Application and Referral.** Teen parents may apply for child care subsidies at a CCR&R, a program contracted to provide Teen Parent Child Care services, a local DTA office, or any other location authorized by EEC. Parents must complete a child care application and fee agreement at the time of application and at each assessment. They also must submit documentation that verifies their income, service need, residence and family relationships. If a teen parent has a current child care authorization from DTA, the authorization is sufficient documentation of their income and service need.

C **Referral.** Eligible parents will be referred to and/or enrolled, in a program that will provide Teen Parent Child Care services. Parents unable to enroll in a Teen Parent Child Care Services program due to a lack of available funding will be placed on EEC’s centralized waiting list.

D **Eligibility Criteria.** Unless authorized for a child care subsidy through DTA’s Employment Services Program or the Supportive Child Care Program, teen parents who seek subsidized child care through the Teen Parent Child Care Services program must comply with the financial and service need requirements of the Income Eligible Child Care program, unless excepted below.

1. **Service Need Requirements.** Unless authorized by DTA or DCF, teen parents must participate in a full-time high school or high school equivalency (GED) program, or must have received a GED or high school diploma and be participating in an approved higher education, training, and/or work activity, as specified in 606 CMR 10.04(1)(b).

2. **Age Requirements.** Teens in their third trimester of pregnancy and teen parents are eligible to participate in the Teen Parent Child Care Services program until they reach
their 20th birthday. Enrolled teens who turn 20 may continue until they complete their service need activity.

E **Eligibility Periods.** Eligibility is determined for periods no longer than 12 months. The subsidy administrator is required to notify teen parents, in writing, 30 days before their eligibility period is due to end.

F **Participation Requirements.** Teen parents participating in the Teen Parent Services Child Care program must comply with the following requirements:

1. Participation in at least 8 hours per month of structured social service support activities through the Teen Parent Child Care Services program, unless they are receiving equivalent services from other sources.

2. Participation in child care activities in their child’s classroom or family child care home at least 1 hour each month.

3. Compliance with all TAFDC requirements.

G **Denial, Termination, or Reduction of Services.** All denials, terminations, or reductions related to the Teen Parent Child Care Services program shall comply with the regulations outlined in 606 CMR 10.13 and 10.14.

H **Continuity of Care.** Parents seeking to continue eligibility at the end of the family’s Teen Parent Child Care services may continue to receive child care financial assistance through the Income Eligible Child Care program if the family meets the requirements set forth in 606 CMR 10.03 and 10.04.
Chapter 7: Homeless Child Care Services Program

This chapter explains how children who are homeless or could become homeless can get access to a child care subsidy.

Children experiencing homelessness or at risk of homelessness may be eligible for child care subsidies, through the Homeless Child Care Services program, as described below, in accordance with the General Provisions for subsidized child care described in 606 CMR 10.03 and in Chapter 2 of this guide, unless otherwise noted.

A Authorization. DHCD and/or DCF may issue a written child care authorization or referral for a family seeking to enroll a child in the Homeless Child Care Services program if the family is participating in an approved homeless activity, including, but not limited to: residing in an emergency assistance shelter, domestic violence shelter, or family substance abuse treatment shelter; residing in temporary housing at a motel/hotel; or participation in a homeless stabilization or diversion program.

B Referral and Waiting List. The family will be referred, by DHCD, DCF, or their designees, to a child care educator/provider with homeless child care openings appropriate to the age and needs of the child. If no appropriate openings are available, the family may be placed on EEC’s centralized waiting list.

C Eligibility Criteria. Homeless families seeking subsidized child care through this program must comply with the financial and service need requirements of the Income Eligible Child Care program in 606 CMR 10.04, unless authorized for a child care subsidy through the Employment Services Program (606 CMR 10.05) or through the Supportive Child Care Program (606 CMR 10.06).

Service Need Requirement. Receipt of an active referral form from DHCD or DCF is sufficient documentation to establish the service need requirement for child care. Families with homeless child care referrals from DHCD or DCF establish a full-time need for child care.

D Eligibility Period. The length of the child care authorization shall not exceed 12 months, and will be determined by either DHCD or DCF, taking into account the individual needs of the family.

E Fee Assessment. DHCD or DCF will determine if applicable parent fees can be waived, on a case by case basis.

F Enrollment. The parent must meet with the contracted child care educator/provider to complete the enrollment process in accordance with the educator’s/provider’s policies and procedures.
**G Denial, Termination, or Reduction of Services.** Homeless Child Care Services will end when the family is no longer homeless or when DHCD or DCF determines that child care services are no longer appropriate, whichever occurs first, or in accordance with EEC’s reasons for denial, termination, and reduction in 606 CMR 10.13. All denials, terminations or reductions related to this program will comply with the regulations described in 606 CMR 10.13 and 10.14.

**H Continuity of Care.** Parents seeking to continue eligibility upon the closure of the family’s Homeless Child Care services may continue to receive child care financial assistance through the Income Eligible Child Care program if the family meets the requirements set forth in 606 CMR 10.03 and 10.04.
Chapter 8

What Do I Have to Pay?

This chapter explains how parent co-payments work and the possible exemptions from making co-payments.

8.1 Requirement to Establish Parent Co-Payment

Most families who receive EEC financial assistance are required to contribute to the cost of early education and care services through a co-payment, unless exempted below.

8.2 Determination of Parent Co-Payments

A Determination of Co-Payments. A parent’s co-payment is based on the family’s income and size. The Parent Co-Payment Schedule is used to determine the co-payment once the family is determined eligible and is being enrolled in an early education and care program. Instructions on how to use the Parent Co-Payment Schedule are included in Appendix C (Income Eligibility and Parent Co-Payment Tables).

1. Part-Time Co-Payments. To determine the co-payment for a child who attends a program for a half day (i.e., care provided for less than 6 hours per day), divide the full day co-payment indicated in the Parent Co-Payment Schedule by 2.

2. If Parent Co-Payments Exceed the Cost of Subsidy. The amount of the parent co-payment may not exceed the stated daily reimbursement rate for subsidized care. If the total household income results in a co-payment that exceeds the daily reimbursement rate, the parent will be responsible for 100% of the subsidy. The family will not be deemed ineligible for subsidy.

B Co-Payment Exemptions. The following household types are not charged co-payments:

1. DTA Authorized Families with Open TAFDC Cases. Fees will not be charged to parents who are authorized for care by DTA and have an open DTA case.

2. Foster Parents, Guardians or Caretakers.

3. DCF Authorized Families with Open Cases.
8.3 Discount of Co-Payments for Siblings

A discounted daily and/or weekly fee applies to families who receive EEC financial assistance for more than one child. The discount will be implemented as follows:

A. Oldest child receiving EEC financial assistance: full fee;
B. Second oldest child receiving EEC financial assistance: $\frac{1}{2}$ of full fee; and
C. Each additional child receiving EEC financial assistance: $\frac{1}{4}$ of full fee.

Children enrolled in EEC financial assistance on an intermittent basis (i.e., summer only or summer and school vacation and holidays) should be treated as a younger sibling when determining the co-payment discount.

8.4 Verification of Discount of Co-Payments for Siblings

To verify that a family is eligible to receive a discounted fee for siblings, the enrolling agency (CCR&R, EEC contracted provider or Head Start program) must do the following:

A. Inquire if the family has another child receiving EEC financial assistance;
B. Identify the provider with whom the sibling is placed;
C. Confirm the sibling’s enrollment status by contacting the identified provider directly; AND
D. Document confirmation of the sibling’s enrollment status in the family’s file by obtaining the most recent Application and Fee Agreement from the other provider.

If discrepancies or changes in family information are discovered through verification, providers and/or agencies should update their records accordingly, including assessing a new fee if applicable, and inform other agencies from whom the parent receives EEC financial assistance.

8.5 Collection of Co-Payment

Collection of the co-payment is the responsibility of the early education and care or out-of-school time program, including in-home/relative child care providers, where the child is placed.

A. Schedule of Payment. Payments must be made in weekly amounts based on a daily fee. All co-payments are to be paid to the provider on a day determined by the provider, but no later than the first business day of the week in which care is provided. Fees for newly employed parents are due the first date of care, regardless of when the parent will receive income from new employment.
First Payment. An initial deposit, equal to the amount of the weekly co-payment, is required prior to the child’s first day of care. For parents who receive a combination of full-time and part-time subsidy, the initial deposit is based on their full-time co-payment.

Co-Payments for Child Absences. Parents must pay the appropriate co-payment, for every day that care is available, for all excused and unexcused absences.

Co-Payments for Approved Closures. Parents must pay the appropriate co-payment for every approved day the program is closed, in accordance with the schedule approved by EEC on an annual basis.

Co-Payments for Unapproved Closures. Parents are not responsible for co-payments for days when care is not available due to the provider’s illness, vacation, or other closing not approved in advance by EEC.

Co-Payments for Emergency Closures. For each event requiring a program to close for emergency purposes, parents may not be charged co-payments for more than two (2) closure days. Billing associated with emergency closures may only occur if the program charges and collects payment from its private paying families at a reimbursement rate equal to or greater than the rate charged to EEC or CCR&Rs for such days. (See EMB FY 2012-07 effective October 27, 2012).

Collection of Co-Payment by Program Staff. Programs should designate a trained staff person or persons to be responsible for collecting co-payments. Parents and other staff should be informed whom they should pay. Receipts must be provided to parents who pay for fees in cash.

8.6 Co-Payment Refunds

Providers may need to issue refunds to parents in the following circumstances:

A If a parent gives a 14-day advance notice of a planned withdrawal from the program and pays the fee for the last week, the initial deposit will be refunded.

B If a grievance determination by EEC results in a re-computation of the assessed fee and it is determined that the family has been overcharged, a refund will be promptly issued by check within 5 days of receiving notice of EEC’s decision.

8.7 Late Payments

Providers should establish their own policies to address late payments, provided such policies do not include suspension or exclusion of the child from child care services or additional charges for late payment. Examples of permissible late payment policies include the issuance of a 2-week notice of termination for non-payment of co-payment or establishment of an alternative payment schedule. Providers must give parents a copy of their late payment policy at the time of
enrollment, or four weeks before the effective date of a policy change. The provider must retain an
acknowledgement of the parent’s receipt of the policy with the parent’s original signature in the
parent’s file. The policy must be implemented consistently with all parents.

Providers must address late payments in a timely manner and should not allow parents to accrue
a balance beyond 2 weeks.

8.8 Additional Fees

Providers shall not charge parents for whom they are receiving EEC financial assistance funding,
any additional “registration,” waiting list fee, deposit, application, field trip, special activity, food
for special events, materials fees for participation in their program, or surcharges for late pay-
ments of co-payments.

Providers may not collect fees from parents receiving EEC financial assistance to supplement
their approved EEC reimbursement daily rate.

Additional fees may be charged for services not offered to every child as part of the regular early
education or out-of-school time program, such as transportation. Only providers who have
signed a transportation addendum as part of their provider agreement or who hold a transporta-
tion contract with EEC are allowed to provide transportation with EEC funding. At their discre-
tion, parents may enter into agreements with vendors for services that are made available through
the program, and parents will be expected to pay for such optional services.

Providers may charge parents for the care of children who remain beyond program hours due to
late pick-up by parents, and for bank fees resulting from checks deposited against overdrawn ac-
counts (i.e., bounced checks).
Chapter 9: Eligible Child Care Subsidy Providers

This chapter details the kinds of child care providers parents can choose when receiving a child care subsidy.

9.1 Parent Choice

EEC provides subsidies for children to attend a the full-range of early education and care programs within the mixed delivery system, including center based care, family child care, Department of Public Health (DPH) licensed summer camps, public school pre-school programs, Head Start programs, and in home/relative care. Parents may not be required to enroll their children at a particular early education and care program.

9.2 In-Home/Relative Child Care – Access and Limitations

**A Access.** Parents receiving a voucher for early education and care services may choose care provided by a relative or care provided in the child’s home by a friend.

1. **Special Need/Disability Restriction.** Unless approved in writing by EEC, use of in-home/relative caregivers is prohibited, if a child receiving a child care subsidy has been identified as having a special need/disability.

2. **Maternity Leave Restriction.** Unless approved in writing by EEC, parents seeking a child care subsidy during maternity leave are precluded from using in-home/relative child care.

**B License Exempt.** In-home/relative child care is exempt from EEC’s licensing requirements.

**C Health and Safety Requirements for Related Caregivers.**

1. **Age.** Subsidized child care may be provided by a relative of the child in a private residence if the caregiver is at least 18 years old;

2. **Household Membership.** The caregiver must not be a member of the parent’s TAFDC assistance unit (unless the parent is under the age of 18).

3. **Relationship Restrictions.** The caregiver may not be the child’s parent, stepparent, foster parent or guardian. Relative caregivers, include siblings, aunts, uncles, and grandparents, must submit evidence of their age and relationship to the child receiving care and of their age. The evidence may include birth certificates, baptismal certificates, and marriage certificates.
4. **Orientation.** Relative caregivers must attend an orientation provided by the CCR&R.

5. **Health and Safety Checklist.** Relative caregivers must complete a Health & Safety Checklist prior to providing child care services and being reimbursed for care.

6. **Capacity Restrictions.** If the relative caregiver is caring for children in her own home, the total number of her own children under the age of 13 and any other children under the age of 13 present in the home while she is providing care may not exceed six. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity.

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**D Health and Safety Requirements for In-Home, Non-Related Caregivers.**

1. **Age.** Caregivers unrelated to the child who are providing subsidized care must be at least 18 years old.

2. **Criminal Offender Record Information (CORI)/DCF Background Records Check.** Non-relative caregivers must have a background free of conduct which, in EEC's sole judgment, bears adversely upon their ability to provide for the safety and well-being of children.

   - **(a)** CCR&Rs shall not issue child care vouchers for an In-Home, Non-Related (IHNHR) caregivers until EEC has conducted a background record check (BRC) and has notified the CCR&R that the individual's BRC has been approved.

   - **(b)** Annual BRC. At the time of initial registration to provide IHNHR child care and at each subsequent assessment, an applicant must complete the Consent for Background Record Check for In-Home, Non-Relative Applicants form. When an applicant registers to provide IHNHR, the applicant must disclose whether or not he or she has a criminal record and what crimes, if any, he or she has been convicted of. The applicant shall not be required to disclose any arrest that does not result in a conviction; a first conviction for any of the following misdemeanors: drunkenness, simple assault, speeding, minor traffic violations, affray or disturbance of the peace.

   - **(c)** The Consent form will be sent by the CCR&R to EEC. Upon receipt, EEC will transmit the information to the Department of Criminal Justice Information Services (DCJIS) for a CORI check and to the DCF Central Registry and Registry of Alleged Perpetrators to check for a supported 51B report. Based upon the information provided by DCJIS and/or DCF, and in accordance with 606 CMR 14.00, Criminal Offender and Other Background Record Checks, EEC will send notification of either approval or disqualification directly to the applicant seeking to provide care, the parent seeking child care services and the CCR&R. The applicant will also be notified of his/her rights to demonstrate why s/he should be approved to provide child care, by completing an application for discretionary approval. The CCR&R may only approve an applicant within 45 business days of receipt of a BRC approval notification from EEC.
Any person approved by EEC to provide IHNR shall notify EEC if a criminal charge is filed against him or her or a DCF 51A report is filed against him or her. Pending criminal charges and/or allegations of abuse or neglect may be grounds for immediate disqualification. BRC information is confidential and will be used only for screening and review of an individual’s eligibility for approval to provide IHNR subsidized child care. Specific BRC information will not be communicated in any form to any person other than the individual on whom the BRC was completed. EEC will notify both the CCR&R, and the parent seeking to utilize the applicant for child care services whether the applicant is approved or disqualified from receiving state funds for child care. Willful dissemination of CORI information to unauthorized individuals is punishable by up to one year in jail and/or a $5,000 fine. Willful dissemination of DCF information to unauthorized individuals is punishable by up to two and one half years in jail and/or a $1,000 fine.

In order to minimize the risk that parents may be unable to receive or retain employment while a BRC is pending, the CCR&Rs should direct parents to use licensed (or relative) child care, if available, while the BRC is pending on the in-home, non-related caregiver. In addition, parents are strongly encouraged to request their DTA child care authorizations during the job search phase of the Employment Services Program, and then promptly apply for a voucher through the CCR&R. In this way, if a parent intends to use IHNR, the BRC check on the caregiver will be completed and approved when the parent is ready to start her or his job.

In rare circumstances, the CCR&R may approve retroactive payment for an IHNR caregiver for a maximum of 30 days prior to BRC approval. For a new applicant, retroactive payment may only be approved for the period of time after the BRC was submitted, and only if:

- the BRC is approved with no adverse background;
- the parent demonstrated at the time of application that s/he had no other options for child care (for example, there was no licensed child care available in the city or town where the parent works or lives or within a reasonable distance from these locations; there was no transportation available to licensed child care; or there was no licensed child care available during the parent’s work hours); AND
- the parent demonstrated that s/he would be unable to receive or retain employment if the voucher for in-home non-relative child care was not issued.

If a previously approved IHNR caregiver fails to complete the BRC process before the child care voucher expires, payment may be approved for a maximum of 30 days prior to the date of final BRC approval.

3. **Location of Care.** Non-related caregivers must provide care in the child’s home and may not be residents of the child’s household.
4. Orientation. In-home, non-related caregivers must attend an orientation provided by the CCR&R.

5. Health and Safety Checklist. In-home, non-related caregivers must complete a Health & Safety Checklist prior to providing the child care services and being reimbursed for care.

6. Capacity Restrictions. If the non-related caregiver is caring for children in the child's home, the total number of the caregiver's own children under the age of 13 and all of the children under the age of 13 who reside in the child's home cannot exceed six. Children under the age of 16 with special needs shall be included in determining a caregiver's capacity.

9.3 Selection of Provider Outside Service Delivery Area

EEC contracts with CCR&Rs to manage the voucher child care system for specific service delivery areas. However, sometimes parents residing in one service delivery area may choose to use care in a service delivery area managed by a different CCR&R. In these cases, timely coordination and communication between CCR&Rs are necessary to allow problem-free access to voucher services for both the parent and the provider. To facilitate the necessary coordination and communication, the CCR&R that manages voucher services in the service delivery where the provider’s regional site is located will be designated as the lead CCR&R, while the CCR&R that manages voucher services in the service delivery area where the parents reside will be responsible for managing the parent voucher.

All CCR&Rs utilizing the provider must maintain a complete, signed, shared provider agreement on file that identifies the lead agency within their region, and the responsibilities of each CCR&R.

The lead CCR&R will be responsible for:
- sharing appropriate information with the CCR&R that completes and manages the parent voucher;
- forwarding a copy of the original signature page of the provider agreement and all applicable attachments (amendments, calendars, rate page) to the CCR&R managing the parent voucher;
- maintaining current information on the provider’s licensing status, and notifying all CCR&Rs with whom they hold shared provider agreements for that provider of any EEC licensing action against the provider.

The CCR&R managing the parent voucher will be responsible for:
- collecting and maintaining the signature page of the shared provider agreement in the provider's file along with the information provided by the lead CCR&R;
- issuing the parent voucher once the provider information has been received from the lead CCR&R;
• managing the vouchers for all children they place who are receiving child care from providers outside their service delivery area;

• managing the reimbursement for providers outside their service delivery area who are serving children receiving voucher services through their agency, (including issuing a 1099 tax record, when applicable);

• updating information on the shared provider agreement (e.g., calendar) if needed; and

• sharing appropriate information with the lead CCR&R regarding the shared provider.

9.4 Change in Early Education and Care Program

A Parent Dissatisfaction – Two Week Notice Required. If the parent becomes dissatisfied with his/her early education and care provider, the parent may choose to withdraw the child and enroll the child in another program. After choosing a new child care provider and making arrangements to enroll the child, the parent must give two weeks’ notice to the current provider. At the conclusion of the two weeks, the child may be enrolled in the new program in a contracted slot, or a voucher may be written for the non-contracted provider, provided that the parent has paid all fees owed to the previous child care provider. A new voucher will not be written for parents with outstanding parent fees.

B Geographic Relocation – Two Week Notice Required. If the parent moves or a change in providers is necessary due to a change in job or to the location of an education or training program, the parent may also change child care by identifying a new provider, and then giving two weeks’ notice to the current provider. At the conclusion of the two weeks, the child may be enrolled in the new program in a contracted slot, or a voucher may be written for the non-contracted provider, provided that funds are available and the parent has paid all fees owed to the previous child care provider.

C Emergency Exception to Two Week Notice Requirement. Under limited circumstances a parent may withdraw a child from care and enroll the child in a new program without giving two weeks’ notice. If the provider agrees to waive the two weeks’ notice, or the parent has concerns about the health and safety of his/her child and files a complaint with EEC, the parent may withdraw his or her child immediately. If the parent holds a voucher for the child, the parent must also notify the CCR&R of his or her intention to terminate care. If the child is enrolled in a contract slot, the parent must notify EEC of his/her intention to terminate care. Exceptions for emergency relocations will be considered on a case-by-case basis. The CCR&R or the contracted provider should contact EEC for approval. All fees owed to the provider must be paid before a new placement. EEC will determine on a case-by-case basis whether or not to reimburse providers for vacant days resulting when a parent withdraws a child from care without two weeks’ notice due to health and safety concerns.

D Parent Consent Required for Program Location Changes. Child Care Providers may not move children from one care location to another without the parent(s)’ written consent.
Chapter 10

How Is Eligibility Reassessed?

This chapter explains what a family can expect when their eligibility for child care subsidy status is reassessed.

10.1 Eligibility Reassessment

Documentation of a family’s income, service need, family size, and residence must be updated for each reassessment. Reassessment should occur by phone, mail, e-mail, or fax, if possible, to facilitate access for families. Co-payments must be updated upon reassessment to reflect any income changes.

For each reassessment, families must demonstrate that their income does not exceed 85% SMI (or 100% SMI for a parent or child who continues to have a documented special need), and that they continue to maintain a valid service need.

10.2 Reassessment Period

A 12-month reassessment period applies in the following circumstances:

- Families who originally received EEC financial assistance through a DTA authorization who are transitional (i.e., families coded as 2) or post-transitional (i.e., families coded as 3A and 3D); and
- Families who receive EEC financial assistance through an income eligible contract or voucher, except for those participating in the following activities:
  - **Job search:** Families are eligible for 8 weeks of job search; however, families who are already receiving EEC financial assistance may be authorized to receive an additional 4 weeks of job search in extraordinary circumstances (e.g., victims of domestic violence and parents/guardians who have been laid off).
  - **Maternity (parental) leave:** A parent or guardian who has been receiving EEC financial assistance may take up to 12 weeks of maternity (parental) leave from paid employment and continue to receive financial assistance.
  - **Self-employed:** Newly self-employed parents/guardians must be reassessed within 12 weeks; each additional reassessment should occur on April 30th or within 12 months of the previous reassessment, whichever comes first.
• **Newly employed**: Newly employed parents/guardians must be reassessed within 8 weeks; each additional reassessment should occur every 12 months.

• **Break in Work Schedule**: Parents/guardians who have predictable and verifiable breaks in their work schedule, including those working in a school system who do not work during summer vacation (e.g., bus drivers, teachers, aides, janitors, cafeteria workers, etc.), and those who experience predictable seasonal employment.

### 10.3 Reassessment Period for Families with Referrals from DCF, DTA, or DHCD

Families who receive EEC financial assistance for supportive child care (i.e., referred by DCF), families who receive EEC financial assistance through a DTA authorization whose DTA case is open (i.e., families with a code of 1 or 4A), and homeless families who receive EEC financial assistance through DHCD, DCF, or another designated entity will continue to be reassessed according to the length of authorization provided by the authorizing agency.

### 10.4 Notification of Reassessment

Parents/guardians must be notified in writing 30 days before their reassessment date to inform them that reassessment is required to verify continued eligibility for EEC financial assistance, and that failure to submit documentation required to determine their continued eligibility will result in their subsidy being terminated.

### 10.5 Continuity of Care

Continuity of Care refers to the *continuation* of EEC financial assistance services for a child already receiving EEC financial assistance in the form of an EEC contracted slot or voucher, if the child remains eligible.

Families who have a change in activity, income, or family size or composition (including DTA authorized families who lose their authorization or children who experience a change in child custody) upon reassessment or who are being reassessed due to a change in activity, income, or family size or composition will continue to be eligible for financial assistance, as long as they continue to meet EEC income and activity requirements.
10.5.1 Continuity of Care for Older School Age Children

Children enrolled in out-of-school programs through EEC financial assistance will have continuity of care after they turn 13 or after they turn 16 if they have a documented special need, under the following circumstances:

When a child who is enrolled in an out-of-school program turns 13 years old (or 16 years old with a documented special need) during the school year, that child may remain in care until the end of the school year, unless the child has access to In-home/Relative Care.

- When a child who is enrolled in a summer camp or program turns 13 years old (or 16 years old with a documented special need) during the summer, that child may remain in the program until the end of the summer, unless the child has access to In-home/Relative Care.
This chapter explains what a family can expect if their child care subsidy is denied, terminated, or reduced.

EEC financial assistance may be denied or terminated under the following circumstances:

- lack of a service need;
- lack of financial eligibility;
- non-payment or late payment of fees;
- unexplained or excessive absence;
- failure to submit required documentation at assessment or reassessment;
- submission of false or misleading information or documentation to the contracted provider, CCR&R, or EEC; OR
- failure of the applicant to comply with EEC policies, the contracted or voucher provider’s policies, or the CCR&R’s policies.

EEC financial assistance may be reduced if a family’s service need changes from full time to part time, or otherwise diminishes.

11.1 Notice of Denial, Termination, or Reduction of Child Care

When a subsidy administrator determines that a family will be denied child care or will terminate or reduce a child care subsidy, a written notice must be given to the parent at least 14 calendar days before the effective date of the reduction or termination.

All notices are considered served if they are mailed to parents at their last known address, or if they are mailed or delivered to parents based on contact information provided by the parent(s) to the child care provider or CCR&R.

The notice must include the following:

- a clear and plain statement of the action to be taken;
- the effective date of the action;
- an explanation of the reason(s) for the action;
• the regulation or other legal authority on which the action is based;
• contact information to obtain more information related to the action;
• an explanation of the right to request a review and a copy of the Request for Review form (See Chapter 12);
• the circumstances under which child care services may continue pending a review;
• a notice of the right to be represented; AND
• contact information to submit an appeal.

CCR&Rs and contracted child care educators should use the Notice of Denial, Termination, or Reduction of Financial Assistance for Child Care form, which can be found at http://www.mass.gov/edu/docs/eec/forms-techasst/financial-assistance/income-eligible/ie-term-reductnotice.pdf. This form must be used consistently with all parents and in accordance with EEC policy and the educator’s policies.

However, if the parent/guardian files a request for review (See Chapter 12) of the decision to deny, terminate, or reduce services, the family may request to receive subsidized care at the previous level until the outcome of the EEC Review Process, if all undisputed parent fees continue to be paid, and the child continues to attend in accordance with EEC attendance policy.

11.2 Service Need or Income Criteria

If an initial assessment indicates that a family does not meet EEC’s service need or income eligibility requirements, the subsidy administrator must provide written notice of the denial within 14 days of the decision. If reassessment indicates that the family no longer meets EEC service need or income requirements, the subsidy administrator must notify the family in writing that their EEC financial assistance will end within 14 calendar days of the decision.

The last day of EEC subsidized care will be the proposed end date on the termination notice.

11.3 Failure to Pay Required Fees

Services may be terminated if the family fails to pay the required fees.

A termination notice must be mailed or handed to the parent/guardian 2 weeks prior to termination of care and must state that EEC financial assistance services to the family will end 14 calendar days from the date of the notice if they do not pay the amount of overdue fees.

If the parent files a request for review, the family may continue to receive subsidized care until the outcome of the EEC review process, if all undisputed fees are paid when due. If the parent fails to pay undisputed fees assessed by the provider, the review may still be conducted, but EEC financial assistance will be terminated and will only be reinstated if the EEC Review Officer’s decision is
favorable to the parent. The review will be limited to determining if the amount of the fees assessed is correct.

If a termination notice is sent or given to a parent because of unpaid fees, the provider may retain the parent’s initial 1-week deposit. The provider may bill EEC at the appropriate rate for the second week of services prior to termination if the provider documents efforts to collect the unpaid amount from the parent.

### 11.4 Unexplained or Excessive Absence

A termination notice will be issued in instances of excessive or unexplained child absences.

#### 11.4.1 Definition of Explained Absence

Explained absences are absences due to illness, emergency, or a maximum of 2 weeks (10 service days) vacation per year.

#### 11.4.2 Definition of Excessive or Unexplained Absence

Excessive absence is defined as:

- 30 or more absences due to illness or emergency within a 6-month period, or more than 10 service days of vacation per year; **OR**
- 3 consecutive unexplained absences.

#### 11.4.3 Action in Cases of Excessive or Unexplained Absences

The subsidy administrator must attempt to contact the family after 3 consecutive days of unexplained absence. If a child is expected to have an extended medical absence, the subsidy administrator should terminate the child’s subsidy and place the child on EEC’s centralized waiting list with the appropriate status code.

If the parent/guardian cannot be reached, or the parent’s/guardian’s explanation indicates that he/she may no longer meet EEC activity requirements, contracted providers may issue a termination notice directly to the parent/guardian. Providers accepting a voucher must contact the CCR&R to discuss whether EEC financial assistance should be terminated.

A termination notice may be issued by handing it to the parent/guardian in person or by sending it by mail, e-mail, or fax. This notice is effective on the date that it is handed to or sent to the parent/guardian, and care will terminate 14 days later. It is important that subsidy administrators maintain accurate records of issued notices.
11.5 Failure to Submit Required Documentation at Reassessment

Failure to submit the documentation required to establish the parent’s/guardian’s continuing service need and income eligibility will result in termination of EEC financial assistance. If a parent/guardian does not submit required documentation at the time of reassessment, the subsidy administrator will issue a termination notice.

A Notice of Denial, Termination, or Reduction of Financial Assistance for Child Care may be issued by handing it to the parent/guardian in person or by sending it by mail, e-mail, or fax. This notice is effective on the date that it is handed to or sent to the parent/guardian, and care will terminate 14 days later. It is important that subsidy administrators maintain accurate records of issued notices.

11.6 Voluntary Termination

Parents/guardians are expected to notify programs at least 2 weeks in advance of a planned termination. If parents/guardians provide at least 14 calendar days notice of their intent to discontinue service, they may choose to receive a refund of their initial deposit, or may request that the deposit be applied to their last week’s fee. A parent does not need to give 2 weeks’ notice of intent to withdraw the sibling of any child terminated by the program.
Chapter 12

EEC Financial Assistance Complaint and Investigation Process

This chapter outlines what a parent/guardian, subsidy provider or any other concerned parties can do if they need to file a financial assistance complaint.

12.1 Complaints

A complaint is an expression of dissatisfaction or concern communicated to an EEC staff person that alleges a violation of contracting standards, or financial assistance policy or regulations. Complaints may be filed against any program that contracts with EEC or completes an EEC provider agreement that authorizes them to receive reimbursement for providing early education and care or out-of-school time services to children who receive EEC financial assistance. These programs may include:

- independent family child care providers;
- family child care homes operating through a family child care system;
- family child care systems;
- child care centers or after school programs;
- a CCR&R OR
- an in-home/ relative caregiver

Complaints may come from parents, relatives, concerned citizens, program or system staff/administrators, CCR&Rs, or EEC staff.

The CCR&R and contracted providers should report any financial assistance complaints directly to the EEC central office, and direct them to the EEC Financial Assistance Unit.

12.2 Request for Review

A parent/guardian may file a request for review with EEC when a contracted child care provider or CCR&R:

- denies, terminates, or reduces the parent’s EEC financial assistance;
- demands a co-payment that the parent believes is not in accordance with EEC financial assistance policy; OR
- acts or fails to act in a way that the parent believes violates EEC financial assistance policy.
A parent may not challenge the legality of state or federal law or EEC regulation in the review process. The scope of the review shall be limited to determining if the subsidy administrator acted in accordance with state or federal law or EEC regulations and policy.

### 12.2.1 Filing a Request for Review

The parent is required to submit a written, signed, and dated request for review form to the EEC within 30 days of:

- notice that their child care is being terminated or reduced; OR
- an action or determination by the subsidy administrator that the parent has violated EEC regulations or policy.

The parent may submit evidence in support of his/her request, such as documents or receipts, within 14 days of submitting the request for review.

The form that parents/guardians need to request a review may be found on the EEC website at: [http://www.mass.gov/edu/docs/techasst/financial-assistance/income-eligible/ie-request-review.pdf](http://www.mass.gov/edu/docs/techasst/financial-assistance/income-eligible/ie-request-review.pdf). For more information regarding the review process, please see 606 CMR 10.14. A Request for Review form should be provided when a denial, reduction, or termination notice is issued. The contracted provider or CCR&R should assist the parent in completing the form if requested.

### 12.3 Investigations

EEC fully expects all families who receive EEC financial assistance to comply with all relevant EEC policies. If a subsidy administrator suspects that a recipient of EEC financial assistance is providing false or misleading information, the subsidy administrator should report the incident to the Financial Assistance Unit in the EEC central office for further investigation.
Chapter 13: What Happens if Incorrect Payments Are Made?

This chapter defines an incorrect or improper payment and how the state may get its money back (recoupment.)

13.1 What Is an Improper Payment?

An improper payment is a payment made for early education and care services that is incorrect and/or is not authorized under applicable laws, regulations, contract terms, policies, and/or procedures. This includes payments to providers for families who are ineligible for subsidized services, payments for care that was not provided, or payments made in error by the purchasing agency to a child care provider, Family Child Care System, or CCR&R.

Examples of improper payments include the following:

- Voucher or contract payments made on behalf of families that were ineligible during some or all of the time they were authorized to receive subsidized child care services, including transportation services;
- Underpayments of parent co-payment as a result of a parent failing to report timely changes to income or household size and/or a parent not being re-assessed in a timely manner;
- Improper billing by voucher or contracted provider (e.g., child care or transportation services not provided or provider “double bills” for care or transportation through contracted slots and voucher slots for the same child);
- Parent providing false information regarding income, household size, or service need, which would have resulted in the parent being ineligible or required to pay a higher co-payment.

13.2 What Is a Recoupment Period?

A recoupment period is any number of days that a provider/system/CCR&R over- or under-billed for subsidized early education and care services due to:

- double billing;
- billing for days when a child did not attend;
• billing when a child had exceeded the allowable number of absences;
• provider/system/CCR&R did not follow EEC’s eligibility, billing, or closure policies resulting in an over- or underpayment; and
• any other improper payment caused by the provider’s/system’s/CCR&R’s own administrative error.

13.3 How Do I Figure Out the Dates for Which Service Costs Can Be Recouped?

A If My Income Changed or Was Unreported.

1. Income changes of 20% or more and the family continues to be income eligible: Parent co-payments go into effect on the first day of the month following the month in which the change in income occurred.

   (a) Recoupment start date: first day of the month following the month in which the change in income occurred.

   (b) Recoupment end date: last day in which the parent underpaid their parent fee (which may include any service days during the review/appeal process).

   (c) Recoupment amount: difference between the parent co-payment that should have been charged based on the family’s actual income and the amount of co-payments that were charged, multiplied by the number of days in the recoupment period.

2. Income changes of 20% or more and the family is no longer income eligible: Parent co-payments go into effect on the first day of the month following the month in which the change in income occurred.

   (a) Recoupment start date: first day of the month following the month in which the change in income occurred.

   (b) Recoupment end date: last day that the parent received subsidized care.

   (c) Recoupment amount: total amount billed in subsidy on behalf of the family (amount billed should exclude co-payments paid by the family for services provided during the recoupment period).

B If There Were Changes in My Service Need:

1. Loss of job/ not attending education or training program. If a parent who received a subsidy based on a service need of working, attending school, or job training, stops this activity and fails to report it in a timely manner, which results in the parent receiving subsidized care when he/she was ineligible, the parent should receive credit
for up to 8 weeks (40 service days) of job search or up to 12 weeks (60 service days) of job search if they were laid off or lost their job due to domestic violence in accordance with Chapter 3 of this guide.

**NOTE:** The 2 weeks allowed for parents prior to beginning a new job, school, or training or between activities can NOT be used to reduce recoupment periods related to changes in service need.

**(a) Recoupment start date:** first day after credit for job search ends.

**(b) Recoupment end date:** last day parent lacked requisite service need.

**(c) Recoupment amount:** total amount of subsidy that was billed on behalf of the parent’s child receiving subsidized care/transportation services (this figure should account for all parent co-payments).

2. **Seasonal workers.** If a parent fails to report changes to his/her work schedule in a timely manner and his/her employment is seasonal, the parent will not receive a job search credit to reduce the recoupment period/amount. The recoupment period should be determined based on the period the parent was not working sufficient hours and thus lacked the requisite service need.

3. **Other changes to service need.** If a parent exceeds maternity (parental) leave, a parent’s special need ends, or the parent is not earning at least minimum wage (whether self-employed or employed by an outside employer), the parent will not receive job search credit to reduce the recoupment period/amount. The recoupment period should be determined based on the period that the parent did not have a sufficient service need.

4. **Reduction in service need hours.** Recoupments related to reduction in employment, school, or training program hours (e.g., full time to part time).

**(a) Recoupment start date:** first day that a parent reduces his/her employment/enrollment in school or job training program to part time (between 20 and 30 hours per week).

**(b) Recoupment end date:** last day of week in that parent worked/was enrolled in school or job training program for 20 to 30 hours.

**(c) Recoupment amount:** difference between full-time subsidy that was billed for and part-time subsidy amount parent should have received. The parent must receive credit for any overpayment of co-payments charged at a full-time versus part-time rate.
5. Change in household composition/size.

(a) Recoupments related to parent marrying or second parent residing in household.

(1) Recoupment start date: date of marriage or date that second parent began residing in the household, whichever is earlier.¹

(2) Recoupment end date: date of reassessment (if co-payment is reassessed and/or eligibility verified) or last day child was in care if subsidy is terminated, whichever occurs first.

(3) Recoupment amount: total subsidy amount parent received while second parent was residing in household that was not factored into eligibility determination or co-payment calculation. This amount may be reduced if parent can provide documentation showing that second parent had a service need, and after factoring in second parent’s income during the relevant period. There may be recoupment for co-payments if the family would have been income eligible even with second parent’s income, but higher parent fees should have been paid. Recoupment should begin on the first day of the month following the month in which the change to income occurred.

(b) Recoupments related to change in number of children to be included in family size.

Recoupment start date: date when child was born through the date that family was reassessed with additional family member included.

(c) Recoupments related to change in number of children in household receiving child care subsidy.

(1) Recoupment start date: date when the number of children in the same household enrolled in subsidized care decreased.

(2) Recoupment end date: last day parent underpaid co-payments due to sibling discount being incorrectly applied.

(3) Recoupment amount: difference between co-payment charged and co-payment that should have been charged, based on actual number of children receiving subsidized child care.

¹ If a parent refuses to provide the date that a second parent began living in the household or amount of income the second parent earned during this period, the provider/system/CCR&R should refer the matter to EEC so that a referral may be made to the Bureau of Special Investigations of the State Auditor’s Office. The parent should be sent a recoupment letter reserving the right to recoup based on information yet to be provided.
13.4 What Actions Can Be Taken if There Is Evidence of Fraud?

If a provider/system/CCR&R receives information indicating that a parent intentionally submitted false documentation as part of his/her application, reassessment, or for subsidized transportation services, the provider/system/CCR&R should send a termination notice to the parent along with a recoupment letter seeking repayment of the full amount of subsidy the parent received based on the false documentation. If a recoupment amount cannot be determined before the termination notice is sent, the provider/system/CCR&R should include a written notification informing the parent that the Commonwealth and EEC reserve the right to seek recoupment for an amount that may total the subsidized financial assistance received by the family.

Examples of false documentation include:

- falsified pay advices; and
- employment verification letters/forms containing forged signatures or signed by persons not employed by the parent’s employer.

The provider/system/CCR&R should also notify EEC’s Legal Counsel so that a referral may be made to the Bureau of Special Investigations (BSI) of the State Auditor’s Office.2

13.5 How Will I Be Notified About Recoupment of Costs?

A Letter. Using templates provided by EEC, the provider/system/CCR&R3 must notify the debtor in writing of:

- the amount owed;
- the time period that the debt relates to;
- the reason for the debt (e.g., family failed to report change in service need or family underpaid parent fees); AND
- a proposed monthly repayment plan.

The letter will notify the parent that she/he has 14 days to respond. The response may include a request for a new monthly repayment amount or an agreement to re-pay the debt.

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2 Providers/systems/CCR&Rs should maintain documentation related to such cases in a secure location for a minimum of 7 years, or longer if requested by EEC or BSI, and provide EEC and/or BSI with access upon request.

3 The entity responsible for managing the recoupment is the entity responsible for reassessing the family. When a recoupment relates to the original assessment, the entity that performed the original assessment is responsible for managing the recoupment.
**B Notice of Termination, Request for Review Form, and Agreement to Repay.**
The recoupment letter should be accompanied by a Notice of Denial, Reduction or Termination of Child Care Financial Assistance, a Request for Review Form, and an Agreement to Repay. The recoupment letter should explain to the family that if they fail to sign the Agreement to Repay within 14 days after the date of the recoupment letter, their subsidy will be terminated effective 14 days after the expiration of the 14-day period.

Termination will occur if:

- a family does not respond within 14 days;
- a family refuses to pay the amount owed;
- the parties cannot agree on a reasonable repayment plan; or
- a family does not file a timely Request for Review.

**The CCR&R must notify the family’s child care educator/provider immediately that child care will terminate, along with the effective end date of subsidized care.**

**C Right to Request a Review.** The recoupment letter must notify the family of their right to request a review if they have relevant evidence and grounds for challenging the termination of their subsidy. Grounds may include a challenge to the facts alleged by the provider/system/CCR&R (e.g., a second parent was not residing in the home), the debt amount, or the time period used to calculate the debt. The family cannot request a review on the basis of challenging the fairness or terms of a regulation or policy (e.g., policy requiring family to notify CCR&R within 10 days of changes to their household size, household income, service need, etc.) or that the repayment poses a financial hardship to them. Such review requests will be denied, as explained in Chapter 12 of this guide. The entity managing the recoupment should explain the scope of the review to the parent both verbally and in the recoupment letter.

**D Delivery.** Recoupment letters may be sent by the provider/system/CCR&R by regular mail, delivered in hand, or via e-mail (if a receipt is obtained).

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**13.7 What Else Do I Need to Know About Recoupment if I Am a Provider?**

**A Payments by Families.** Until notified otherwise by EEC, payments made by parents (whether related to the current or previous fiscal year) must be made payable to the Commonwealth of Massachusetts and repaid either directly to EEC’s Accounting Unit or in response to invoices generated through EEC’s automated accounts receivable system (BARS).
1. **Documentation to provide to EEC.** A provider/system/CCR&R managing a recoupment must scan and e-mail to EEC’s Accounting Director and Legal Counsel the following information:
   - Parent debtor’s full name
   - Parent debtor’s current mailing address
   - Parent debtor’s date of birth
   - Amount owed in full
   - A copy of the recoupment letter sent to the parent debtor; **AND**
   - A copy of the Agreement to Repay (either signed by the parent debtor or unsigned if the parent debtor refuses).

2. CCR&Rs must either call EEC’s Accounting Director and provide the parent debtor’s social security number OR send the information through a secure website to EEC’s Accounting Director to ensure confidentiality.

3. The provider/system/CCR&R should retain the original signed Agreement to Repay in their files for at least 7 years or longer if the repayment period is longer than 7 years.

**B Payment Plans.** The provider/system/CCR&R may use the following guidelines to establish the amount of time a parent debtor has to repay:

<table>
<thead>
<tr>
<th>Amount of Debt</th>
<th>Repayment Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1–$100</td>
<td>Payment in full in 2 months (preferably in one payment)(^4)</td>
</tr>
<tr>
<td>$101–$200</td>
<td>Payment made in 3 months</td>
</tr>
<tr>
<td>$201–$300</td>
<td>Payment made in full in 6 months</td>
</tr>
<tr>
<td>$301–$600</td>
<td>Payment made in full in 12 months</td>
</tr>
<tr>
<td>$601 and higher</td>
<td>Payments should be no lower than $50 per month.</td>
</tr>
</tbody>
</table>

Consult with EEC’s Legal Counsel for suggested amounts or if family asks to lower payment (goal is still to have full repayment in less than 3 years).

In extenuating circumstances when a parent debtor can establish that the guidelines above should not apply, the CCR&R should consult with EEC’s Legal Counsel to establish a reasonable repayment plan.

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\(^4\) In cases where only one payment of $100 or less will be made, checks should be sent directly to EEC’s Accounting Unit.
C Parent Fails to Respond to Letter/Refuses to Repay. The provider/system/CCR&R must notify EEC when a parent does not respond to the recoupment letter or refuses to pay the debt. If the parent continues to refuse to repay, even after child care is terminated, EEC may place the debt on BARS so that debt intercept and collection processes may be utilized. If there was alleged fraud, EEC may also refer the case to BSI for further investigation and/or to the Attorney General’s Office for litigation to collect the debt.

D Monitoring of Payments. EEC will ensure that all payments from parents are made in accordance with any signed Agreements to Repay. If a parent debtor fails to make timely or full payment, EEC will notify the provider/system/CCR&R and may direct the provider/system/CCR&R to issue a Notice of Termination in accordance with the terms of the Agreement to Repay.
Appendix A

Evidence of U.S. Citizenship, U.S. National Status, or Alien Status

Effective 4/2/2010

The law regarding U.S. citizenship and nationality is complex and constantly changing; therefore, the following broad definitions are provided for general guidance only:

- **U.S. citizen:** (1) A person (other than the child of a foreign diplomat) born in one of the several states or in the District of Columbia, Puerto Rico, Guam, the U.S. Virgin Islands, or the Northern Mariana Islands who has not renounced or otherwise lost his/her citizenship; (2) a person born outside of the United States to at least one U.S. citizen parent (sometimes referred to as a “derivative citizen”); (3) a naturalized U.S. citizen or (4) a child (a) born on or after February 28, 1983, and under 18 years of age; (b) residing in the United States as a lawful permanent resident; and (c) in the legal and physical custody of at least one parent who is a U.S. citizen.

- **U.S. non-citizen national:** a person born in an outlying possession of the United States (American Samoa or Swain’s Island) on or after the date the U.S. acquired the possession, or a person whose parents are U.S. non-citizen nationals (subject to certain residency requirements).

- **Qualified Alien:** An alien lawfully admitted for permanent residence under the Immigration and Nationality Act (INA); an alien granted asylum under section 208 of the INA; a refugee admitted to the U.S. under section 207 of the INA; an alien paroled into the U.S. under section 212(d)(5) of the INA for at least one year; an alien whose deportation is being withheld under section 243(h) of the INA as in effect prior to April 1, 1997, or whose removal is being withheld under section 241(b)(3) of the INA; an alien granted conditional entry pursuant to section 203(a)(7) of the INA as in effect prior to April 1, 1980; an alien who is a Cuban or Haitian entrant as defined in section 501(e) of the Refugee Education Assistance Act of 1980; or an alien who (or whose child or parent) has been battered or subjected to extreme cruelty in the U.S. and otherwise satisfies the requirements of Sec. 431(c) of the Act.

If the child seeking child care financial assistance claims to be a citizen of the United States or a non-citizen national of the United States, documentation from *List A* is required. If the child is a qualified alien, non-immigrant, or parolee, documentation from *List B* is required.

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List A: U.S. Citizen or U.S. National

Note: In this List, the term “Service” refers to the U.S. Citizenship and Immigration Services (USCIS), formerly, the U.S. Immigration and Naturalization Service (INS).

a. Primary Evidence:

1. A birth certificate showing birth in one of the 50 states, the District of Columbia, Puerto Rico (on or after January 13, 1941), Guam, the U.S. Virgin Islands (on or after January 17, 1917), American Samoa, or the Northern Mariana Islands (on or after November 4, 1986, Northern Mariana Islands local time), unless the applicant was born to foreign diplomats residing in such a jurisdiction;

2. U.S. passport;

3. Report of birth abroad of a U.S. citizen (FS-240) (issued by the Department of State to U.S. citizens);

4. Certificate of Birth (FS-545) (issued by a foreign service post) or Certification of Report of Birth (DS-1350), copies of which are available from the Department of State;

5. Form N-561, Certificate of Citizenship;

6. Form I-197, United States Citizen Identification Card (issued by the Service until April 7, 1983, to U.S. citizens living near the Canadian or Mexican border who needed it for frequent border crossings) (formerly Form I-179, last issued in February 1974);

7. Form I-873 (or prior versions), Northern Marianas Card (issued by the Service to a collectively naturalized U.S. citizen who was born in the Northern Mariana Islands before November 3, 1986);

8. Statement provided by a U.S. consular official certifying that the individual is a U.S. citizen (given to an individual born outside the United States who derives citizenship through a parent but does not have an FS-240, FS-545, or DS-1350);

9. Form I-872 (or prior versions), American Indian Card with a classification code “KIC” and a statement on the back identifying the bearer as a U.S. citizen (issued by the Service to U.S. citizen members of the Texas Band of Kickapoos living near the U.S./Mexican border); or


b. Secondary Evidence

If the applicant cannot present one of the documents listed in (a) above, the following may be relied upon to establish U.S. citizenship or U.S. national status:

1. Religious record documented in one of the 50 states, the District of Columbia, Puerto Rico (on or after January 13, 1941), Guam, the U.S. Virgin Islands (on or after January 17, 1917), American Samoa, or the Northern Mariana Islands (on or after
November 4, 1986, Northern Mariana Islands local time), unless the applicant was born to foreign diplomats residing in such a jurisdiction, within 3 months after birth showing that the birth occurred in such jurisdiction and the date of birth or the individual's age at the time the record was made;

2 Evidence of civil service employment by the U.S. government before June 1, 1976;

3 Early school records (preferably from the first school) showing the date of admission to the school, the applicant’s date and U.S. place of birth, and the name and place of birth of the applicant’s parents;

4 Census record showing name, U.S. nationality, or a U.S. place of birth, and applicant’s date of birth or age;

5 Adoption finalization papers showing the applicant’s name and place of birth in one of the 50 states, the District of Columbia, Puerto Rico (on or after January 13, 1941), Guam, the U.S. Virgin Islands (on or after January 17, 1917), American Samoa, or the Northern Mariana Islands (on or after November 4, 1986, Northern Mariana Islands local time), unless the applicant was born to foreign diplomats residing in such a jurisdiction, or, when the adoption is not finalized and the state or other U.S. jurisdiction listed above will not release a birth certificate prior to final adoption, a statement from a state- or jurisdiction-approved adoption agency showing the applicant’s name and place of birth in one of such jurisdictions, and stating that the source of the information is an original birth certificate; OR

6 Any other document that establishes a U.S. place of birth or otherwise indicates U.S. nationality. Examples of such a document include a contemporaneous hospital record of birth in one of the 50 states, the District of Columbia, Puerto Rico (on or after January 13, 1941), Guam, the U.S. Virgin Islands (on or after January 17, 1917), American Samoa, or the Northern Mariana Islands (on or after November 4, 1986, Northern Mariana Islands local time), unless the applicant was born to foreign diplomats residing in such a jurisdiction.

c. Collective Naturalization

If the applicant cannot present one of the documents listed in (a) or (b) above, the following will establish U.S. citizenship for collectively naturalized individuals:

Puerto Rico:

- Evidence of birth in Puerto Rico on or after April 11, 1899, and the applicant’s statement that he/she was residing in the United States, a U.S. possession, or Puerto Rico on January 13, 1941; or

- Evidence that the applicant was a Puerto Rican citizen and the applicant’s statement that he/she was residing in Puerto Rico on March 1, 1917, and that he or she did not take an oath of allegiance to Spain.
**U.S. Virgin Islands:**

- Evidence of birth in the U.S. Virgin Islands, and the applicant’s statement of residence in the United States, a U.S. possession, or the U.S. Virgin Islands on February 25, 1927;

- The applicant’s statement indicating resident in the U.S. Virgin Islands as a Danish citizen on January 17, 1917, and residence in the United States, a U.S. possession, or the U.S. Virgin Islands on February 25, 1927, and that he/she did not make a declaration to maintain Danish citizenship; or

- Evidence of birth in the U.S. Virgin Islands and the applicant’s statement indicating residence in the United States, a U.S. possession or territory, or the Canal Zone on June 28, 1932.

**Northern Mariana Islands** (NMI) formerly part of the Trust Territory of the Pacific Islands (TTPI):

- Evidence of birth in the NMI, TTPI citizenship and residence in the NMI, the United States, or a U.S. territory or possession on November 3, 1986 (NMI local time), and the applicant’s statement that he/she did not owe allegiance to a foreign state on November 4, 1986 (NMI local time);

- Evidence of TTPI citizenship, continuous residence in the NMI since before November 3, 1981 (NMI local time), voter registration prior to January 1, 1975, and the applicant’s statement that he/she did not owe allegiance to a foreign state on November 4, 1986 (NMI local time); or

- Evidence of continuous domicile in the NMI since before January 1, 1974, and the applicant’s statement that he/she did not owe allegiance to a foreign state on November 4, 1986 (NMI local time). Note: If a person entered the NMI as a non-immigrant and lived in the NMI since January 1, 1974, this does not constitute continuous domicile and the individual is not a U.S. citizen.

d. **Derivative Citizenship**

If the applicant cannot present one of the documents listed in (a) or (b) above, the following may be used to determine derivative U.S. citizenship:

**Born abroad to 2 U.S. citizen parents:** Evidence of U.S. citizenship of the parents and the relationship of the applicant to the parents, and evidence that at least one parent resided in the United States or an outlying possession prior to the applicant’s birth.

**Born abroad to a U.S. citizen parent and a U.S. non-citizen national parent:** Evidence that one parent is a U.S. citizen and that the other is a U.S. non-citizen national, evidence of the relationship of the applicant to the U.S. citizen parent, and evidence that the U.S. citizen parent resided in the United States, a U.S. possession, American Samoa, or Swain’s Island for a period of at least one year prior to the applicant’s birth.
**Born out of wedlock abroad to a U.S. citizen mother:** Evidence of the U.S. citizenship of the mother, evidence of the relationship to the applicant and, for births on or before December 24, 1952, evidence that the mother resided in the U.S. prior to the applicant's birth or, for births after December 24, 1952, evidence that the mother had resided, prior to the child's birth, in the U.S. or a U.S. possession for a period of one year.

**Born in the Canal Zone or the Republic of Panama:** A birth certificate showing birth in the Canal Zone on or after February 26, 1904, and before October 1, 1979, and evidence that one parent was a U.S. citizen at the time of the applicant's birth; or a birth certificate showing birth in the Republic of Panama on or after February 26, 1904, and before October 1, 1979, and evidence that at least one parent was a U.S. citizen and employed by the U.S. government or the Panama Railroad Company or its successor in title.

In all other situations in which an applicant claims to have a U.S. citizen parent and an alien parent, or claims to fall within one of the above categories, but is unable to present the listed documentation:

- If the applicant is in the United States, the applicant should contact the local U.S. Citizenship and Immigration Service office for determination of U.S. citizenship;
- If the applicant is outside the United States, the applicant should contact the State Department for a U.S. citizenship determination.

**e. Adoption of Foreign-Born Child by U.S. Citizen**

- If the birth certificate shows a foreign place of birth and the applicant cannot be determined to be a naturalized citizen under any of the above criteria, obtain other evidence of U.S. citizenship;
- Because foreign-born adopted children do not automatically acquire U.S. citizenship by virtue of adoption by U.S. citizens, the applicant should contact the local U.S. Citizenship and Immigration Service office to determine U.S. citizenship.

**f. U.S. Citizenship By Marriage**

A woman acquired U.S. citizenship through marriage to a U.S. citizen before September 22, 1922. Provide evidence of U.S. citizenship of the husband, and evidence showing the marriage occurred before September 22, 1922.

---

2 If the husband was an alien at the time of the marriage and became naturalized before September 22, 1922, the wife also acquired naturalized citizenship. If the marriage terminated, the wife maintained her U.S. citizenship if she was residing in the United States at that time and continued to reside in the United States.
List B: Qualified Aliens, Non-immigrants, and Aliens Paroled into the United States for Less Than One Year

The documents listed below that are registration documents are indicated with an asterisk (*).

a. Qualified Aliens

Evidence of qualified alien status includes the following:

Alien Lawfully Admitted for Permanent Residence

- *Form I-551 (Alien Registration Receipt Card, commonly known as a “green card”); OR
- Unexpired Temporary I-551 stamp in foreign passport or on *I Form I-94.

Asylee

- * Form I-94 annotated with stamp showing grant of asylum under section 208 of the INA;
- * Form I-766 (Employment Authorization Document) annotated “A5”;
- Grant letter from the Asylum Office of the U.S. Citizenship and Immigration Service; OR
- Order of an immigration judge granting asylum.

Refugee

- * Form I-94 annotated with stamp showing admission under §207 of the INA;
- * Form I-688B (Employment Authorization Card) annotated “274a.12(a)(3)”; OR

Alien Paroled into the U.S. for at Least One Year

- * Form I-94 with stamp showing admission for at least one year under section 212(d)(5) of the INA.

   Applicant cannot aggregate periods of admission for less than one year to meet the one-year requirement.

Alien Whose Deportation or Removal Was Withheld

- * Form I-766 (Employment Authorization Document) annotated “A10”; or
- Order from an immigration judge showing deportation withheld under §243(h) of the INA as in effect prior to April 1, 1997, or removal withheld under §241(b)(3) of the INA.
**Alien Granted Conditional Entry**
- * Form I-94 with stamp showing admission under §203(a)(7) of the INA;
- * Form I-688B (Employment Authorization Card) annotated “274a.12(a)(3)”; **OR**

**Cuban/Haitian Entrant**
- * Form I-551 (Alien Registration Receipt Card, commonly known as a “green card”) with the code CU6, CU7, or CH6;
- Unexpired temporary I-551 stamp in foreign passport or on * Form I-94 with the code CU6 or CU7; **OR**
- Form I-94 with stamp showing parole as “Cuba/Haitian Entrant” under Section 212(d)(5) of the INA.

**Alien Who Has Been Declared a Battered Alien or Alien Subjected to Extreme Cruelty**
- U.S. Citizenship and Immigration Service petition and supporting documentation.

**b. Non-immigrant**

Evidence of non-immigrant status includes the following:
- * Form I-94 with stamp showing authorized admission as a non-immigrant.

**c. Alien Paroled into U.S. for Less than One Year**

Evidence includes:
- * Form I-94 with stamp showing admission for less than one year under section 212(d)(5) of the INA.
## Appendix B

### Desk Guide to Non-citizen Eligibility for Child Care Financial Assistance

#### Non-citizen Children Who Are Eligible for Child Care Financial Assistance

<table>
<thead>
<tr>
<th>Non-citizen status</th>
<th>Sample proof*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal permanent resident (LPR)</td>
<td>- Permanent Resident card (‘green card,” but it’s not necessarily green) (Form I-551)</td>
</tr>
<tr>
<td></td>
<td>Because expiration of document does not indicate loss of status, an expired Permanent Resident card may be accepted.</td>
</tr>
<tr>
<td></td>
<td>- Re-entry permit (Form I-327)</td>
</tr>
<tr>
<td></td>
<td>- Foreign passport stamped LPR or I-551</td>
</tr>
<tr>
<td></td>
<td>- Arrival/Departure card (Form I-94) referencing I-551</td>
</tr>
<tr>
<td></td>
<td>- Memorandum of Creation of Record of LPR with approval stamp (Form I-181)</td>
</tr>
<tr>
<td></td>
<td>- Order issued by USCIS, an immigration judge, the Board of Immigration Appeals, or a federal court granting registry, suspension of deportation, cancellation of removal, or adjustment of status.</td>
</tr>
<tr>
<td>Person granted parole for at least one year</td>
<td>- Form I-94 or foreign passport stamped “parolee”, “PIP”, “212(d)(5)” or other language indicating parole status, when “date admitted to” is at least one year from entry date or when parole status has continued for at least one year beyond the entry date</td>
</tr>
<tr>
<td></td>
<td>- Employment Authorization Card I-688B or Employment Authorization Document I-766 with code such as 274a.12(a)(4), A4, 274a.12(c)(11) or C11</td>
</tr>
<tr>
<td>Refugee</td>
<td>- Form I-94 or foreign passport stamped “refugee” or “§207” or codes RE-1 to RE-5</td>
</tr>
<tr>
<td></td>
<td>- Employment Authorization Card I-688B or Employment Authorization Document I-766 with code such as 274a.12(a)(3) or A3</td>
</tr>
<tr>
<td></td>
<td>- Refugee travel document (I-571)</td>
</tr>
<tr>
<td>Asylum granted</td>
<td>- Form I-94 or foreign passport stamped “asylee” or “§208” or codes AS-1 to AS-3</td>
</tr>
<tr>
<td></td>
<td>- Letter from USCIS approving asylum application</td>
</tr>
<tr>
<td></td>
<td>- Order of immigration judge, Board of Immigration Appeals, or court granting asylum</td>
</tr>
<tr>
<td></td>
<td>- Employment Authorization Card I-688B or Employment Authorization Document I-766 with code such as 274a.12(a)(5) or A5</td>
</tr>
<tr>
<td></td>
<td>- Refugee travel document (I-571)</td>
</tr>
<tr>
<td>Person granted withholding of deportation or cancellation of removal</td>
<td>- Form I-94 or foreign passport stamped “§243(h)” or “ §241(b)(3)”</td>
</tr>
<tr>
<td></td>
<td>- Order of USCIS, immigration judge, Board of Immigration Appeals, or court granting withholding of deportation or cancellation of removal</td>
</tr>
<tr>
<td></td>
<td>- Employment Authorization Card I-688B or Employment Authorization Document I-766 with code such as 274a.12(a)(10) or A10</td>
</tr>
<tr>
<td>(Vietnamese) Amerasian Immigrant</td>
<td>- I-94, foreign passport or Vietnamese exit visa with code AM-1 to AM-3 or AM-6 to AM-8</td>
</tr>
</tbody>
</table>
### Non-citizen Children Who Are Eligible for Child Care Financial Assistance

<table>
<thead>
<tr>
<th>Non-citizen status</th>
<th>Sample proof*</th>
</tr>
</thead>
</table>
| Cuban/Haitian entrant | - Form I-94 with notation “Cuban/Haitian entrant,” “parole,” or “OOE” or “Outstanding Orders of Exclusion,” or “Order of Supervision”  
- Any documents showing pending asylum application (Form I-589)  
- Any documents showing pending removal, deportation or exclusion proceedings (with no final order), including Form I-122 (Notice to Applicant Detained for a Hearing Before an Immigration Judge), Form I-221 (Order to Show Cause and Notice of Hearing), or Form I-862 (Notice to Appear)  
- Form I-220 Order of Supervision  
- Employment Authorization Card I-688B or Employment Authorization Document I-766 with code such as 274a.12(c)(8) or C8 (pending asylum); 274a.12(a)(4) or (c)(11) or A4 or C11 (parole); or 274a.12(c)(18), or C18 (under order of supervision)  
- Any documents showing status granted under §504(e), §212(d)(5), or §212.12(b) |
| Afghani/Iraqi special immigrants | - Form I-94 or foreign passport stamped or coded SI-1 to SI-3 |
| Battered Non-citizen (abused child or child of abused parent) | - Receipt, I-797 Notice of Action, or other proof of filing of an I-130 visa petition under immediate relative (IR) or second family preference (P-2)  
- Any documents indicating a pending suspension of deportation or cancellation of removal case, including a receipt from immigration court indicating filing of Form EOIR-40 or EOIR-42  
- Employment Authorization Card I-688B or Employment Authorization Document I-766 with code such as 274a.12(a)(10) or A10 (applicant for suspension of deportation) or 274a.12(c)(14) or C14 (individual granted deferred action status)  
- Receipt or other proof of filing of I-485 application for adjustment of status based on immediate relative or family second preference petition  
- Evidence of steps taken to obtain documentation, such as written confirmation from an attorney or USCIS. If the parent can show steps taken but is unable to provide official documentation, a signed self-declaration by the parent is acceptable, pending receipt of the necessary verification. (Because of the nature of abusive relationships, battered non-citizens may not have copies of documents that have been filed by them or on their behalf.)  
- Evidence of abuse by parent, spouse, or other family member with whom the victim previously lived. Abuse may be physical, verbal, or emotional. If no other evidence is available, statements from child’s parent and from a third-party with knowledge of the abuse may be sufficient.  
- Form I-360 application to qualify as abused spouse or child under VAWA  
- Form I-797 Notice of Action referencing pending I-360 petition, finding establishment of a prima facie case under the Violence Against Women Act (VAWA), or approving I-360 petition  
- Receipt or other proof of filing of I-485 application for adjustment of status based on VAWA application  
- Employment Authorization Card I-688B or Employment Authorization Document I-766 with code such as 274a.12(c)(31) or C31 |

*Because the VAWA application process requires evidence of abuse to be submitted to U.S. immigration authorities, no additional evidence is needed.*
## Non-citizen Children Who Are Eligible for Child Care Financial Assistance

<table>
<thead>
<tr>
<th>Non-citizen status</th>
<th>Sample proof*</th>
</tr>
</thead>
</table>
| Victim of severe form of trafficking in persons (victim or witness to exploitation or abuse such as sex trafficking or slavery) | • Certification by U.S. Department of Health and Human Services (Office of Refugee Resettlement) that child’s parent is assisting in investigation of severe form of trafficking  
• Letter by DHHS Office of Refugee Resettlement stating that minor child is a victim of severe form of trafficking  
• I-94 card with code such as T-1 or T-2  
• Employment Authorization Card I-688B or Employment Authorization Document I-766 with code such as 274a.12(a)(16) or A16, 274a.12(c)(25), C25 |

* An individual may have other documentary proof indicating immigrant status from USCIS, an immigration judge, the Board of Immigration Appeals, or a court. A statement from an attorney may also serve to certify an immigrant’s status or pending status.

## Non-citizen Children Who Are Not Eligible for Child Care Financial Assistance

- Non-citizen immigrants not listed above
- Non-immigrants, such as tourists, students, visitors on business, etc.
The Income Eligibility Table must be used to determine if a family’s income meets EEC’s income eligibility criteria. In order to meet income eligibility requirements, all families must have an income at or below 50% of the state median income (SMI) upon initial assessment, and will remain eligible if their income remains at or below 85% SMI, if they continue to meet EEC activity requirements.

Families with a child or parent with a documented special need who have an income at or below 85% SMI upon initial assessment may remain income eligible up to 100% SMI, if they continue to have a documented special need.

### Step 1: Use This Form to Determine Family Income Eligibility

1. Find the column with the family's size written at the top.
2. Read down the column to find the (annual or monthly) family’s income amount.
3. Read directly across to the left to determine “Percent State Median Income” (SMI).

<table>
<thead>
<tr>
<th>% of State Median Income (SMI)</th>
<th>Family of Two</th>
<th>Family of Three</th>
<th>Family of Four</th>
<th>Family of Five</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Annual</td>
<td>Monthly*</td>
<td>Annual</td>
<td>Monthly</td>
</tr>
<tr>
<td>50% SMI</td>
<td>$34,078</td>
<td>$2,840</td>
<td>$42,096</td>
<td>$3,508</td>
</tr>
<tr>
<td>85% SMI</td>
<td>$57,932</td>
<td>$4,828</td>
<td>$71,563</td>
<td>$5,964</td>
</tr>
<tr>
<td>100% SMI</td>
<td>$68,155</td>
<td>$5,680</td>
<td>$84,192</td>
<td>$7,016</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>% of State Median Income (SMI)</th>
<th>Family of Six</th>
<th>Family of Seven</th>
<th>Family of Eight</th>
<th>Family of Nine</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Annual</td>
<td>Monthly</td>
<td>Annual</td>
<td>Monthly</td>
</tr>
<tr>
<td>50% SMI</td>
<td>$66,150</td>
<td>$5,513</td>
<td>$67,654</td>
<td>$5,638</td>
</tr>
<tr>
<td>85% SMI</td>
<td>$112,456</td>
<td>$9,371</td>
<td>$115,012</td>
<td>$9,584</td>
</tr>
<tr>
<td>100% SMI</td>
<td>$132,301</td>
<td>$11,025</td>
<td>$135,308</td>
<td>$11,276</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>% of State Median Income (SMI)</th>
<th>Family of Ten</th>
<th>Family of Eleven</th>
<th>Family of Twelve</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Annual</td>
<td>Monthly</td>
<td>Annual</td>
</tr>
<tr>
<td>50% SMI</td>
<td>$72,164</td>
<td>$6,014</td>
<td>$73,668</td>
</tr>
<tr>
<td>85% SMI</td>
<td>$122,679</td>
<td>$10,223</td>
<td>$125,235</td>
</tr>
<tr>
<td>100% SMI</td>
<td>$144,328</td>
<td>$12,027</td>
<td>$147,335</td>
</tr>
</tbody>
</table>
EEC Financial Assistance Tables

Parent Co-Payment Table

The Parent Co-Payment Schedule is used to determine the parent’s co-payment once the family is determined to be eligible and is being enrolled in an early education and care program.

Step 2: Use This Form to Determine Parent Co-Payment

1. Find the column with the family’s size written at the top.
2. Read down the column until you come to the correct income bracket.
3. Read directly across to the right until you are under the “Daily Fee” column.

See tables on pages C-3 and C-4.
## Parent Co-Payment Table

(continued on next page)

<table>
<thead>
<tr>
<th>Gross Monthly Income</th>
<th>Parent Co-Payment</th>
<th>Fee Level</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Daily Fee</td>
<td>Weekly Fee</td>
</tr>
<tr>
<td><strong>Family of Two</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$0–971</td>
<td>$—</td>
<td>$—</td>
</tr>
<tr>
<td><strong>Family of Three</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$972–1095</td>
<td>$2.00</td>
<td>$10.00</td>
</tr>
<tr>
<td><strong>Family of Four</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$1096–1219</td>
<td>$3.00</td>
<td>$15.00</td>
</tr>
<tr>
<td><strong>Family of Five</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$1220–1380</td>
<td>$4.50</td>
<td>$22.50</td>
</tr>
<tr>
<td><strong>Family of Six</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$1381–1457</td>
<td>$5.50</td>
<td>$27.50</td>
</tr>
<tr>
<td><strong>Family of Seven</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$1458–1540</td>
<td>$6.50</td>
<td>$32.50</td>
</tr>
<tr>
<td><strong>Family of Eight</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$1541–1634</td>
<td>$7.50</td>
<td>$37.50</td>
</tr>
<tr>
<td><strong>Family of Nine</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$1635–1725</td>
<td>$8.00</td>
<td>$40.00</td>
</tr>
<tr>
<td><strong>Family of Ten</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$1726–1843</td>
<td>$8.50</td>
<td>$42.50</td>
</tr>
<tr>
<td><strong>Family of Eleven</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$1844–1986</td>
<td>$9.00</td>
<td>$45.00</td>
</tr>
<tr>
<td><strong>Family of Twelve</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$1987–2186</td>
<td>$12.50</td>
<td>$62.50</td>
</tr>
<tr>
<td><strong>Family of Thirteen</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$2187–2286</td>
<td>$15.00</td>
<td>$75.00</td>
</tr>
<tr>
<td><strong>Family of Fourteen</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$2287–2429</td>
<td>$16.50</td>
<td>$82.50</td>
</tr>
<tr>
<td><strong>Family of Fifteen</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$2430–2573</td>
<td>$17.50</td>
<td>$87.50</td>
</tr>
</tbody>
</table>
# Parent Co-Payment Table (continued)

<table>
<thead>
<tr>
<th>Gross Monthly Income</th>
<th>Parent Co-Payment</th>
<th>Fee Level</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Daily Fee</td>
<td>Weekly Fee</td>
</tr>
<tr>
<td>Family of Two</td>
<td></td>
<td></td>
</tr>
<tr>
<td>$2574–2717</td>
<td>$19.00</td>
<td>$95.00</td>
</tr>
<tr>
<td>Family of Three</td>
<td>$20.50</td>
<td>$102.50</td>
</tr>
<tr>
<td>Family of Four</td>
<td>$22.00</td>
<td>$110.00</td>
</tr>
<tr>
<td>$2861–3004</td>
<td>$23.00</td>
<td>$115.00</td>
</tr>
<tr>
<td>Family of Five</td>
<td>$24.00</td>
<td>$120.00</td>
</tr>
<tr>
<td>Family of Six</td>
<td>$25.00</td>
<td>$125.00</td>
</tr>
<tr>
<td>$2718–2860</td>
<td>$26.00</td>
<td>$130.00</td>
</tr>
<tr>
<td>Family of Seven</td>
<td>$27.00</td>
<td>$135.00</td>
</tr>
<tr>
<td>Family of Eight</td>
<td>$28.00</td>
<td>$140.00</td>
</tr>
<tr>
<td>$3005–3132</td>
<td>$29.00</td>
<td>$145.00</td>
</tr>
<tr>
<td>Family of Nine</td>
<td>$32.00</td>
<td>$160.00</td>
</tr>
<tr>
<td></td>
<td>$35.00</td>
<td>$175.00</td>
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<tr>
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<td>$38.00</td>
<td>$190.00</td>
</tr>
<tr>
<td></td>
<td>$41.00</td>
<td>$205.00</td>
</tr>
</tbody>
</table>
Appendix D

Income Excluded from Income Eligibility Determination

All of the following income sources should be excluded from a family’s income when determining if the family meets EEC eligibility requirements:

**Government Assistance Earnings**

1. Payments under the Nutrition Program for the Elderly (Title VII of the Older Americans Act of 1965);
2. Payments from the Home Energy Assistance Program;
3. Department of Children and Families foster care support payments;
4. The value of the coupon allotment under the Food Stamp Act of 1964, as amended, in excess of the amount paid for coupons;
5. The value of U.S. Department of Agriculture (USDA) donated foods, the value of supplemental food assistance under the Child Nutrition Act of 1966, and the special food service program for children under the National School Lunch Act, as amended;
6. Subsidized adoption payments from the Commonwealth of Massachusetts;
7. Rental allowance made to any welfare recipients (TAFDC), Emergency Aid to the Elderly, the Disabled and to Children (EAEDC), or funds from the Refugee Resettlement Program (RRP); and
8. Payments credited to an escrow account under the Family Self-Sufficiency Program administered by the Department of Housing and Urban Development.

**Restitution Payment Earnings**

Payments to eligible individuals of Japanese ancestry or their survivors under the Civil Liberties Act of 1988 and payments to eligible Aleuts (who were former residents of the Aleutian and Pribilof Islands) or their survivors under the Aleutian and Pribilof Islands Restitution Act, Public Law 100-383;

1. Payments made under the Radiation Exposure Compensation Act of 1990;
2. Payments made to individuals because of their status as victims of Nazi persecution in accordance with Public Law 103-286;
3. Veterans Benefits Payments to a female Vietnam veteran made on behalf of a child with birth defects or spina bifida;
4 Agent Orange Settlement Fund payments made to Vietnam veterans or their survivors in accordance with public law 101-201, January 1, 1989;
5 Any payment received under the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970; and
6 Payments made pursuant to the Alaska Native Claims Settlement Act to the extent such payments are exempt from taxation under Section 21(a) of the Act.

**Earnings from Legal Actions, Contracts, or Agreements**

1 TAFDC cash benefits resulting from a correction of an underpayment or a fair housing decision, in the month of receipt and in the following month;
2 Any portion of a Workers’ Compensation, property damage, personal injury, Compensation to Victims of Violent Crimes Act, or death settlement or award that is spent for the purpose for which it was originally earmarked and is not compensation for lost wages;
3 Per capita payments to or funds held in trust for any individual in satisfaction of a judgment of the Indian Claims Commission or the Court of Claims; and
4 Money received from the sale of property, such as stocks, bonds, a house, or a car (unless the person was engaged in the business of selling such property, in which case the net proceeds would be counted as income from self-employment).

**Employment or Training Related Earnings**

1 Training stipends including, but not limited to, payments from the Department of Employment and Training (DET) or the Massachusetts Rehabilitation Commission (MRC). The balance of the stipend is treated as unearned income, which is countable unless specified as non-countable under another provision of these regulations;
2 Youthbuild, Volunteers in Service to America (VISTA), or Americorps allowances, earnings, or payments to individuals participating in those programs;
3 Additional income received by a member of the Armed Forces deployed to a combat or hazardous duty zone, in accordance with Public Law 108-447;
4 Any grant or loan to an undergraduate student for education purposes made or insured under any program administered by the U.S. Commission of Education;
5 Loans and grants, such as scholarships, obtained and used under conditions that preclude their use for current living costs;
6 Military Housing Allowance;
7 Employer’s Benefit Dollars, unless the employee elects not to spend the dollars on benefits; and
8 Travel Reimbursement.
Exempted Personal Earnings

1. Withdrawals from bank accounts;
2. Money borrowed;
3. Tax refunds and capital gains;
4. Income earned by dependent children;
5. Gifts and lump sum inheritance; and
6. Lump sum insurance payments.
Appendix E

Employment Verification Form (Rev. 12/27/2012)

The Department of Early Education and Care (EEC) provides financial assistance for early education and care to eligible Massachusetts families. To qualify, families must meet EEC's income guidelines and must demonstrate a service need. Service need is defined as the reason child care is needed. Activities that establish a service need include employment, education, and training.

This form must be completed by the following applicants:

- A newly employed applicant who cannot yet provide pay stubs documenting his/her income for one month (4 weeks within the most recent 6-week period);
- A self-employed applicant, including independent contractors/contract workers;
- An applicant who is paid in cash, regardless of whether he/she is employed by or working as an independent contractor/contract worker for an individual or business.

The purpose of this form is to verify:

- an applicant's employment status;
- the number of hours per week that he/she works; and
- the amount of income that he/she receives for those hours of work.
- that a parent/guardian is eligible for EEC financial assistance and, if found eligible, the amount of child care that he/she may receive.

Instructions for Completing This Form

**NOTE:** A person's eligibility for EEC financial assistance cannot be determined unless all sections of this form are completed in their entirety and returned to the Child Care Resource and Referral agency (CCR&R) or contracted child care provider. It is important to complete and return the form in a timely manner.

**Instructions for EEC Financial Assistance Applicant (Parent/Guardian):**

1. Please complete Sections I, II, and III of this form.
2. If you are self-employed and provide services for more than one client, you must also complete the Monthly Work Schedule Worksheet on page E-8. After completing these sections and, if necessary, the Monthly Work Schedule Worksheet, you should make and retain copies for your records before giving the form to the person verifying your employment.
3 If you are a new employee or existing employee of a business and you are paid in cash, you must give this form to your employer to complete Section IV and send the form to the CCR&R or contracted child care provider.

4 If you are an independent contractor/contract worker, you must give this form to the person/business with whom you contract to complete Section IV and send the form to the CCR&R or contracted child care provider.

5 If you are self-employed, you must give this form to one of your customers/clients or suppliers to complete Section IV and send the form to the CCR&R or contracted child care provider.

6 The person verifying your employment must complete Section IV and must send this form to the CCR&R or contracted child care provider listed on page E-7.

**Instructions for Person Verifying Employment:**

Please complete Section IV of this form. Please make and retain a copy for your records and send the original along with any supporting documentation to the CCR&R or contracted child care provider listed on page E-7.

**Section I: Employment Verification**

To be completed by the EEC financial assistance applicant.

1 Name of Applicant (Parent/Guardian):

2 Type of Employment

   a Please check the statement that best describes the nature of your employment.

      □ I am a new employee of the business listed below. Please complete b and e below and skip c and d.

      □ I am an existing employee of the business listed below. Please complete b and e below and skip c and d.

      □ I work as an independent contractor/contract worker for the business listed below. Please complete b, c, d, and e below.

      □ I am self-employed. Please list the name and address of your business, if applicable, below in b, then complete c and d, and skip e.

   b Name of Business: ____________________________

      Address: ____________________________

      Telephone: ____________________________
c If you are an independent contractor/contract worker or are self-employed, please describe the type of work that you perform or the nature of your business (for example, I drive a taxi cab).

________________________________________________________________________

________________________________________________________________________

d If you are an independent contractor/contract worker or are self-employed, do you perform work for or provide services to multiple clients?

☐ Yes

If you answered yes, you must complete and attach the Monthly Work Schedule Worksheet.

☐ No

e If you are an employee or independent contractor/contract worker, are you paid in cash by the business listed above in b?

☐ Yes     ☐ No

3 Please list the start date of your employment, the date you began work as an independent contractor/contract worker, or the date you began your self-employment (for example, January 15, 2007). ____________________________________________

4 How many hours per week do you work? ____________ hours

If your work schedule varies, please list the minimum and maximum hours per week that you may work (for example, 20–25 hours per week). __________________________________________

5 How much income, including tips, do you receive per week for these hours of work?

$ __________________________

If your income varies, please list the average amount of income that you receive per week.

6 Please describe your work schedule each week (for example, 8:00 a.m. to 4:00 p.m. on Mondays, Wednesdays, and Fridays).

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
Section II: Authorization for Release of Information

To be completed by the EEC financial assistance applicant.

I am requesting financial assistance for child care from the Department of Early Education and Care. I authorize:

- the individual listed in Section IV to release information requested on this form about me;
- the individual listed in Section IV to share information relating to my employment status, work schedule, and income with the Child Care Resource and Referral agency (CCR&R), child care provider, and/or EEC to determine my eligibility for financial assistance; and
- the CCR&R, child care provider and/or EEC to contact the individual listed in Section IV to verify the information provided on this form.

- I understand that my decision to authorize the individual listed in Section IV to share information about my employment status, work schedule, and income with the CCR&R, child care provider, and/or EEC is voluntary. However, I understand that if I do not authorize the individual listed in Section IV to share this information, the CCR&R, child care provider, and/or EEC will not be able to make a determination about my eligibility for financial assistance for child care.

Parent’s/Guardian’s signature: ___________________________ Date: _______________

Please print:

Parent’s/Guardian’s name: ____________________________________________________________

Address: __________________________________________________________________________

Phone: __________________________

Section III: Certification

To be completed by the EEC financial assistance applicant.

I certify that the information provided in Sections I and II of this form is, to the best of my knowledge and belief, true and accurate.

I understand that providing false or misleading information in connection with my application for EEC financial assistance, receiving EEC financial assistance as a result of any false or misleading information, and/or failing to report within 14 days any change in my work or school schedule, my family size or family income, or any other circumstances that might change my eligibility or fee level may:

- result in the termination of my EEC financial assistance;
- make me ineligible to apply for and/or receive EEC financial assistance for up to 3 years;
• result in me having to repay the costs of child care; and/or
• make me subject to a civil fine and possible criminal prosecution.

Parent’s/Guardian’s signature: ___________________________ Date: ________________

Section IV: Verification of Employment by Third Party

To be completed by the person verifying the employment of the EEC financial assistance applicant.

Please check the box below that best describes your business relationship to the applicant.

☐ I am the applicant’s employer. If you checked this box, please complete Parts A and C below and skip Part B.

☐ The applicant is an independent contractor/contract worker with whom I contract. If you checked this box, please complete Parts A and C below and skip Part B.

☐ I am a customer/client of the applicant. If you checked this box, please skip Part A below and complete only Parts B and C.

☐ I supply goods or services to the applicant as part of his/her business. If you checked this box, please skip Part A below and complete only Parts B and C.

Please list below the applicant’s start date of employment or, if the applicant is an independent contractor/contract worker with whom you contract, please list the date that he/she first began working for you.

__________________________________________

Part A To be completed by applicant’s employer, or if the applicant is an independent contractor/contract worker, by the person/business who contracts with the applicant.

1 Please describe the type of work performed by the applicant, the number of hours that he/she works per week, including weekly schedule, and the amount of income that he/she receives for those hours of work. For example, I employ Jane Doe as a contract employee to drive a taxi cab on Mondays, Tuesdays, and Fridays from 8:00 a.m. to 6:00 p.m. Jane Doe works 30 hours per week and is paid $300 per week plus tips.
Please provide the following information about your business.

2 Name of Business: ____________________________

3 Address of Business: ____________________________

4 Business Telephone: ____________________________

5 Nature of Business: ____________________________

6 Social Security Number: ____________________________ OR Employer Identification Number (EIN): ____________________________

7 Corporate Status of Business: (Please check one of the following)
   □ Sole Proprietorship   □ Partnership   □ Corporation   □ S-Corporation

8 Doing Business As (DBA) Certificate Number: ____________________________ (if applicable)

9 City/Town Where DBA Was Filed: ____________________________ (if applicable)

Part B To be completed by a customer/client or supplier verifying the employment of the EEC financial assistance applicant.

1 Please check the box below that best describes your business relationship to the applicant.
   □ I am a customer/client of this applicant.
   □ I supply goods or services to this applicant as part of his/her business.

2 How long have you been a customer/client/supplier of the applicant?

3 Please describe the type of work performed by the applicant, including the nature of the goods/services provided. For example, John Doe has his own landscaping business and does landscaping and gardening work.

1 Also known as a Federal Identification Number.
4 If you are a customer/client of the applicant, how often do you purchase goods/services from this individual? For example, Jane Doe takes care of my lawn and garden twice a month during the months of April-November.

5 If you supply goods or services to the applicant, how often do you supply goods or services to this individual? For example, I deliver office supplies to John Doe once a month.

6 Do you know how many hours per week the applicant works and/or his/her hours of operation?

☐ Yes  ☐ No

7 If you answered yes to question 6, please list below the weekly work hours and/or hours of operation of the applicant.

Part C To be completed by all persons verifying employment.

I certify that the information provided in Section IV of this form is, to the best of my knowledge and belief, true and accurate.

Signature of Person Verifying Employment: __________________________

Date: ______________

Please print:

Verifier’s name: __________________________

Address: __________________________

Phone: __________________________

Instructions for Person Verifying Employment of EEC financial assistance applicant: Please make a copy of this form for your records and return the original form and any supporting documentation to:

CCR&R or Contracted Provider: enter address or affix mailing label
## Monthly Work Schedule Worksheet

To be completed by self-employed persons who provide services for more than one client.

Name of Parent/Guardian: ____________________________

Month and year (e.g., July 2007): __________________

<table>
<thead>
<tr>
<th>Week</th>
<th>Hours of Work/Operation (e.g., 8 a.m.–6 p.m.)</th>
<th>Total Number of Hours Worked This Week (e.g., 50)</th>
<th>Total Number of Clients Served This Week (e.g., 25)</th>
<th>Name and Phone Number of One Client Served This Week (e.g., John Doe (617) 000-0000)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Week #1</td>
<td>Mon&lt;br&gt;Tue&lt;br&gt;Wed&lt;br&gt;Thu&lt;br&gt;Fri&lt;br&gt;Sat&lt;br&gt;Sun</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Week #2</td>
<td>Mon&lt;br&gt;Tue&lt;br&gt;Wed&lt;br&gt;Thu&lt;br&gt;Fri&lt;br&gt;Sat&lt;br&gt;Sun</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Week #3</td>
<td>Mon&lt;br&gt;Tue&lt;br&gt;Wed&lt;br&gt;Thu&lt;br&gt;Fri&lt;br&gt;Sat&lt;br&gt;Sun</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Week #4</td>
<td>Mon&lt;br&gt;Tue&lt;br&gt;Wed&lt;br&gt;Thu&lt;br&gt;Fri&lt;br&gt;Sat&lt;br&gt;Sun</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Week #5</td>
<td>Mon&lt;br&gt;Tue&lt;br&gt;Wed&lt;br&gt;Thu&lt;br&gt;Fri&lt;br&gt;Sat&lt;br&gt;Sun</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monthly Totals</td>
<td>Total: _______ days worked this month</td>
<td>Total: _______ hours worked this month</td>
<td>Total: _______ clients served this month</td>
<td></td>
</tr>
</tbody>
</table>

[Image: BRAIN BUILDING IN PROGRESS]

Appendix E: Employment Verification Form

MASSACHUSETTS DEPARTMENT OF EARLY EDUCATION AND CARE
**Certification**

I certify that the information provided on this form is, to the best of my knowledge and belief, true and accurate.

I understand that providing false or misleading information in connection with my application for EEC financial assistance, receiving EEC financial assistance as a result of any false or misleading information, and/or failing to report within 14 days any change in my work or school schedule, my family size or family income, or any other circumstances that might change my eligibility or fee level may:

- result in the termination of my EEC financial assistance;
- make me ineligible to apply for and/or receive EEC financial assistance for up to 3 years;
- result in me having to repay the costs of child care; and/or
- make me subject to a civil fine and possible criminal prosecution.

Parent’s/Guardian’s signature: ___________________________ Date: _____________
Appendix F

Self-Employment Information Letter and Report of Self-Employment Earnings Form

Dear Self-Employed Parent:

The Department of Early Education and Care (EEC) provides financial assistance for early education and care to Massachusetts families who meet specific eligibility requirements. Those requirements include income criteria and a documented service need, or reason for needing care. Your eligibility for EEC financial assistance cannot be determined unless you provide sufficient information to verify both your income and service need.

To help you understand EEC’s policies regarding self-employment income and the information you will need to provide to determine your eligibility, EEC has prepared this self-employment information packet, which includes a copy of the following documents:

- EEC Report of Self-Employment Earnings form;
- EEC Verification of Employment form;
- IRS Form 4506-T, Request for Transcript of Tax Return; and
- Summary Table of Documentation Requirements for Self-Employed Families, which lists the documentation that you must provide to determine your eligibility.

Self-employed parents, like all parents applying for EEC financial assistance, must document their service need, or reason for needing care. The attached EEC Report of Self-Employment Earnings form includes a section for you to provide information about your work schedule and the number of hours per week that you work. If your self-employment can be verified by another party (e.g., clients, customers, suppliers), you will also be required to complete and submit the attached EEC Verification of Employment form. The purpose of this form is to document your self-employment, the number of hours per week that you work, and the amount of income that you receive.

Please be advised that EEC will keep your personal information confidential and will share this information with outside persons or entities only to the extent necessary to determine and verify your eligibility for EEC financial assistance.

We hope the attached information is helpful and makes the process of applying for EEC financial assistance easier for you. If you have questions or need additional information, please contact EEC at (617) 988-6600.

Sincerely,
Report of Self-Employment Earnings Form

Section I: Family Information

1 Name of Parent/Guardian: ____________________________
2 Address: __________________________________________
3 Telephone: _________________________________________
4 Social Security Number: _____________________________

Section II: Information About Self-Employed Family Member (if different from above)

1 Name of Self-Employed Family Member: ______________________
2 Address: __________________________________________
3 Telephone: _________________________________________
4 Social Security Number: _____________________________

Section III: Information About Business

1 Name of Business: ______________________________________
2 Address of Business: __________________________________
3 Business Telephone: _____________________________
4 Employer Identification Number (EIN)¹: ______________________
5 Nature of Business: ____________________________________
6 Corporate Status of Business (Please check one of the following):
   □ Sole Proprietorship □ Partnership □ Corporation □ S-Corporation
7 Number of Hours Worked per Week (e.g., 30 hours): ______________

If your work schedule varies, please list the minimum and maximum hours per week that you may work. For example, between 20 and 25 hours per week.

¹ Also known as a Federal Identification Number.
8 Days and Times of the Week Worked (e.g., Monday, Wednesday, and Friday from 9 a.m.–3p.m.): ______________________

If your work schedule varies, please list the days that you may work and hours each day that you may work.

__________________________________________

__________________________________________

__________________________________________

9 Required Business Documentation Attached (Please check and attach a copy of ONE of the following):

☐ Doing Business As (DBA) Certificate

☐ Articles of Incorporation on file with Secretary of the Commonwealth

☐ Certificate of Registration issued by the Secretary of the Commonwealth

☐ Professional License

☐ Other documentation indicating establishment of business (Please explain):

__________________________________________

__________________________________________
Section IV: Monthly Self-Employment Income and Expenses

Please report your self-employment income and expenses for each of the last 3 months using the Monthly Self-Employment Earnings Worksheets attached. Please note that although most business expenses may be deducted from the income you receive from self-employment, some expenses may not be deducted. For the purposes of determining your eligibility for EEC financial assistance, certain business expenses, such as depreciation and meals and entertainment, are not allowable.

Examples of allowable business expenses include:

- amounts paid for any items necessary for the business, such as materials and supplies, advertising costs, repairs, legal and professional services;
- amounts paid for employee salaries and taxes on those salaries as well as any employee benefit plans (i.e., health insurance or retirement plans for your employees);
- amounts paid for equipment, machinery, and other capital assets and durable goods (i.e., items used in the business that are expected to last a long time such as a delivery van, an office building, etc.);
- amounts paid for ownership or rental of commercial property (e.g., monthly mortgage or rent for office building, office space, workshop, or other place of business);
- amounts paid for business insurance (if your home is used for business purposes, you may deduct amounts paid only for commercial property insurance, but not for homeowner’s or renter’s insurance);
- if the home is used for business purposes, only the business portion of residential expenses may be deducted (e.g., separate business phone line and any extra utility costs that can be attributed to the business);
- if a personal car or truck is used for business purposes, only the business portion of vehicle expenses costs may be deducted; and
- mileage expenses between business sites, but not including the mileage from home to the first business site and from the last business site to home.

Examples of business expenses that are not allowable and should not be listed include:

- personal expenses, such as health insurance premiums, life insurance premiums, or retirement benefits;
- taxes that you pay on your net income, including Social Security, federal, and state taxes;
- monthly mortgage or rental payment for your home;
- depreciation; and
- business losses from prior months/years.
**Monthly Self-Employment Earnings Worksheet**

Parent’s/Guardian’s Name: ________________________________

Name of self-employed family member whose earnings are listed on this worksheet *(if different from above)*: ________________________________

Month and year *(e.g., January 2007)*: ________________________________

Number of hours worked per week this month *(e.g., 30 hours)*: _____________

Total number of hours worked this month *(e.g., 30 hours)*: _____________

**A** Monthly Gross Receipts or Sales (including all tips) $ ________________

**Monthly Business Expenses**

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Cost of goods sold</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Advertising</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Automobile Expenses <em>(Add 3a–3d)</em></td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>3a.</td>
<td>Gas</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>3b.</td>
<td>Insurance</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>3c.</td>
<td>Maintenance</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>3d.</td>
<td>Registration</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Commissions and Fees</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Contract Labor</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Employee Benefit Programs <em>(e.g., health, accident, life insurance and dependent care assistance program)</em></td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Insurance <em>(e.g., commercial liability, fire insurance, etc.)</em></td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Interest paid on mortgage owed banks</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Other interest payment <em>(specify)</em></td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Legal and Professional Services</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>Office Expenses</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>Pension or Profit-Sharing Plan</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td>Rent for Leased Vehicles, Machinery, or Equipment</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>14.</td>
<td>Rent for Other Business Property <em>(e.g., office space)</em></td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td>Repairs and Maintenance</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>16.</td>
<td>Supplies</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>17.</td>
<td>Taxes and Licenses</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>18.</td>
<td>Utilities</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>19.</td>
<td>Employee Wages and Salaries</td>
<td>$</td>
<td></td>
</tr>
</tbody>
</table>

**B** Total Monthly Business Expenses *(Add together lines 1 through 19)* $ ________________

**C** Net Monthly Business Income *(Subtract line B from line A)* $ ________________
**Monthly Self-Employment Earnings Worksheet**

Parent’s/Guardian’s Name: ____________________________________________

Name of self-employed family member whose earnings are listed on this worksheet *(if different from above)*: ____________________________________________

Month and year *(e.g., January 2007)*: ________________________________

Number of hours worked per week this month *(e.g., 30 hours)*: __________

Total number of hours worked this month *(e.g., 30 hours)*: __________

**A** Monthly Gross Receipts or Sales (including all tips) $ __________

**Monthly Business Expenses**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Cost of goods sold</td>
<td>$</td>
</tr>
<tr>
<td>2. Advertising</td>
<td>$</td>
</tr>
<tr>
<td>3. Automobile Expenses <em>(Add 3a–3d)</em></td>
<td>$</td>
</tr>
<tr>
<td>3a. Gas</td>
<td>$</td>
</tr>
<tr>
<td>3b. Insurance</td>
<td>$</td>
</tr>
<tr>
<td>3c. Maintenance</td>
<td>$</td>
</tr>
<tr>
<td>3d. Registration</td>
<td>$</td>
</tr>
<tr>
<td>4. Commissions and Fees</td>
<td>$</td>
</tr>
<tr>
<td>5. Contract Labor</td>
<td>$</td>
</tr>
<tr>
<td>6. Employee Benefit Programs <em>(e.g., health, accident, life insurance and dependent care assistance program)</em></td>
<td>$</td>
</tr>
<tr>
<td>7. Insurance <em>(e.g., commercial liability, fire insurance, etc.)</em></td>
<td>$</td>
</tr>
<tr>
<td>8. Interest paid on mortgage owed banks</td>
<td>$</td>
</tr>
<tr>
<td>9. Other interest payment <em>(specify)</em></td>
<td>$</td>
</tr>
<tr>
<td>10. Legal and Professional Services</td>
<td>$</td>
</tr>
<tr>
<td>11. Office Expenses</td>
<td>$</td>
</tr>
<tr>
<td>12. Pension or Profit-Sharing Plan</td>
<td>$</td>
</tr>
<tr>
<td>13. Rent for Leased Vehicles, Machinery, or Equipment</td>
<td>$</td>
</tr>
<tr>
<td>14. Rent for Other Business Property <em>(e.g., office space)</em></td>
<td>$</td>
</tr>
<tr>
<td>15. Repairs and Maintenance</td>
<td>$</td>
</tr>
<tr>
<td>16. Supplies</td>
<td>$</td>
</tr>
<tr>
<td>17. Taxes and Licenses</td>
<td>$</td>
</tr>
<tr>
<td>18. Utilities</td>
<td>$</td>
</tr>
<tr>
<td>19. Employee Wages and Salaries</td>
<td>$</td>
</tr>
</tbody>
</table>

**B** Total Monthly Business Expenses *(Add together lines 1 through 19)* $ __________

**C** Net Monthly Business Income *(Subtract line B from line A)* $ __________
**Monthly Self-Employment Earnings Worksheet**

Parent’s/Guardian’s Name: ________________________________

Name of self-employed family member whose earnings are listed on this worksheet (if different from above): ________________________________

Month and year (e.g., January 2007): ____________________________

Number of hours worked per week this month (e.g., 30 hours): __________

Total number of hours worked this month (e.g., 30 hours): __________

**A** Monthly Gross Receipts or Sales (including all tips) $ __________

**Monthly Business Expenses**

<table>
<thead>
<tr>
<th></th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Cost of goods sold</td>
<td>$</td>
</tr>
<tr>
<td>2. Advertising</td>
<td>$</td>
</tr>
<tr>
<td>3. Automobile Expenses (Add 3a–3d)</td>
<td>$</td>
</tr>
<tr>
<td>3a. Gas</td>
<td>$</td>
</tr>
<tr>
<td>3b. Insurance</td>
<td>$</td>
</tr>
<tr>
<td>3c. Maintenance</td>
<td>$</td>
</tr>
<tr>
<td>3d. Registration</td>
<td>$</td>
</tr>
<tr>
<td>4. Commissions and Fees</td>
<td>$</td>
</tr>
<tr>
<td>5. Contract Labor</td>
<td>$</td>
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<tr>
<td>6. Employee Benefit Programs (e.g., health, accident, life insurance and dependent care assistance program)</td>
<td>$</td>
</tr>
<tr>
<td>7. Insurance (e.g., commercial liability, fire insurance, etc.)</td>
<td>$</td>
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<td>8. Interest paid on mortgage owed banks</td>
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<tr>
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<td>$</td>
</tr>
<tr>
<td>10. Legal and Professional Services</td>
<td>$</td>
</tr>
<tr>
<td>11. Office Expenses</td>
<td>$</td>
</tr>
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<td>12. Pension or Profit-Sharing Plan</td>
<td>$</td>
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<td>15. Repairs and Maintenance</td>
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</tr>
<tr>
<td>16. Supplies</td>
<td>$</td>
</tr>
<tr>
<td>17. Taxes and Licenses</td>
<td>$</td>
</tr>
<tr>
<td>18. Utilities</td>
<td>$</td>
</tr>
<tr>
<td>19. Employee Wages and Salaries</td>
<td>$</td>
</tr>
</tbody>
</table>

**B** Total Monthly Business Expenses (Add together lines 1 through 19) $ __________

**C** Net Monthly Business Income (Subtract line B from line A) $ __________
Section V: Certification

I certify that I have receipts or other verification for all of the income and expenses reported on this form. I agree to provide copies of these receipts or other documentation to verify any of the information reported on this form to EEC, a Child Care Resource and Referral agency (CCR&R), or contracted child care provider upon request.

I certify that the information provided on this form is, to the best of my knowledge and belief, true and accurate. I understand that providing false or misleading information in connection with my application for EEC financial assistance, receiving EEC financial assistance as a result of any false or misleading information, and/or failing to report within 14 days any change in my work or school schedule, my family size or family income, or any other circumstances that might change my eligibility or fee level may:

- result in the termination of my EEC financial assistance;
- make me ineligible to apply for and/or receive EEC financial assistance for up to 3 years;
- result in me having to repay the costs of child care; and/or
- make me subject to a civil fine and possible criminal prosecution.

Parent’s/Guardian’s Signature: ____________________________________________

Name (printed): __________________________________________________________

Date: __________________________

Signature of Self-Employed Family Member
(if different from above) ____________________________________________________

Name (printed): __________________________________________________________

Date: __________________________
Appendix G.1

Verification of Disability/Special Needs for PARENT/GUARDIAN

The Department of Early Education and Care (EEC) is the Lead Agency in the Commonwealth responsible for administering the Child Care Development Fund (CCDF), which is a federal block grant that provides financial assistance to low-income, working families seeking high-quality early education and out of school care programs in Massachusetts.1 Child care financial assistance funded by CCDF is not an entitlement.2 Federal and state regulations establish maximum household income thresholds and require parents to participate in an approved service need activity, including work, education, or a training program.3 On a limited basis, an exception to the income and service need activity requirements may be granted for children/families receiving or in need of receiving protective services.4 CCDF funded child care cannot be authorized for purposes of providing respite care (e.g., to give a parent time off from parenting).5

Financial assistance for early education and care programs may also be available to a child whose parent/guardian has a documented disability/special need, because the child is receiving or at risk of receiving protective services based on the parent/guardian being: (1) unable to work or participate in educational and/or training program; and (2) unable to provide a safe environment for the care of his/her child due to his/her disability/special need. Consideration may also be made for a parent/guardian who is providing full-time care for a child with a disability/special need, thereby necessitating care for his/her other child(ren). In such circumstances, the parent/guardian should submit request a variance, in accordance with EEC policy.

The purpose of this verification form is: (1) to verify the existence of the disability/special need of the parent/guardian; (2) to explain how the disability/special need prevents the parent from working or participating in another EEC approved activity; and (3) to explain how the disability/special need impacts the parent’s ability to provide a safe environment for the care of his/her child(ren), taking into consideration the ages and needs of the child(ren).

1 See G.L. c. 15D, §2.
3 See 45 CFR 98.20 and 606 CMR 10.04.
4 Id.
Section I: Disability/Special Needs Verification

To be completed by the professional.

The individual identified below has stated that she/he is unable to participate in an EEC approved service need activity such as work, school, or training because of his/her disability/special need. The applicant has requested EEC provide financial assistance to enroll his/her children in an early education and care program because she/he is unable to work and is unable to provide a safe environment for the care of his/her children. Please fill out the information below to help us determine how we might best meet the needs of this family.

Who may fill out this form:

- If the disability/special need results from a physical health issue, this form must be filled out by a licensed physician.
- If the disability/special needs results from an emotional or mental health issue, this form may be filled out by a currently licensed (1) psychiatrist, (2) doctorate level psychologist, (3) nurse practitioner, or (4) psychiatric nurse.

1 Your professional role (check one – only professionals in roles listed here may complete this verification form):
   - Physician
   - Psychiatrist
   - Psychologist
   - Nurse Practitioner
   - Psychiatric Nurse

2 Name of Parent/Guardian: ___________________________ Date of Birth: ______________

3 Name(s) of Parent/Guardian’s child(ren), including date(s) of birth:
   - Name: ___________________________ Date of Birth: ______________
   - Name: ___________________________ Date of Birth: ______________
   - Name: ___________________________ Date of Birth: ______________
   - Name: ___________________________ Date of Birth: ______________
   - Name: ___________________________ Date of Birth: ______________

4 Nature of parent’s/guardian’s special need(s)/disability (check all that apply):
   - Physical disability/special need;
   - Mental health disability/special need; or
   - Other disability/special need.

5 How long have you been treating this individual? ___________________________
I currently see this individual:

- [ ] Daily
- [ ] Weekly
- [ ] Monthly
- [ ] Other (specify frequency) _______________

How does the disability/special need impact the applicant’s ability to care for the child(ren) needing access to an early education and care program? (Check all that apply.)

- [ ] Parent is in treatment during the day: ________ days/week and ________ hours/day;
- [ ] Parent’s special need/disability prevents the provision of a safe environment during the day;
- [ ] Other: __________________________________________________________________________

Please state the approximate date that the disability/special need commenced: __________ AND indicate the likely duration of the condition:

- [ ] Permanent
- [ ] At least 1 year, but not permanent
- [ ] 6 months to 1 year
- [ ] 6 months or less

Required Documentation to be attached to this verification form:

A letter on official letterhead of the professional completing this form providing specific information about the disability/special needs. This letter must include the following:

- identification of your patient’s disability/special need;
- explanation of how the condition prevents your patient from working or participating in education or training programs;
- explanation of how your patient’s disability/special need impacts his/her ability to provide a safe environment for the care of his/her child(ren), taking into consideration the age(s) and needs of the child(ren); and
- the amount of time child care is needed to accommodate the disability/special need and/or to provide a safe environment for his/her children, including the number of days per week and hours per day that early education and care services are needed.

Signature of Professional: ________________________________ Date: ______________

Please print:

Name: ________________________________ Title: ________________________________

Address: ______________________________________________________________________

Phone: ____________________________ License Number: ____________________________

You may be contacted by an EEC representative to verify this information. EEC reserves the right to deny or reject a claim of disability/special need if the verification form and/or its required attachments are incomplete or deemed inadequate. If you have any questions or concerns, please contact EEC at 617-988-6600.
Section II: Medical Records Release

To be completed by the parent/guardian.

I am requesting financial assistance for child care based on my disability/special need. I authorize the professional identified in Section I to release the information requested on this form, and I also authorize the professional to share medical records or other information about my disability and/or special need listed in Section I with the Child Care Resource and Referral agency (CCR&R), child care provider, and/or EEC in order to determine eligibility for child care financial assistance. I further authorize the CCR&R, child care provider, and/or EEC to contact the professional identified in Section I to verify the information provided on this form and to discuss his/her diagnosis of my disability and/or special need as it applies to the need for early education and care services.

This form authorizes the professional to release most medical or health information with the following exception(s). The professional identified in Section I cannot disclose the following medical or health information, unless such disclosure is authorized. Please check the box next to each item below if you specifically authorize the professional to share the information described therein.

- [ ] I authorize the professional identified in Section I to share information about AIDS/HIV status.
- [ ] I authorize the professional identified in Section I to share information about drug or alcohol use.
- [ ] I authorize the professional identified in Section I to share information about psychological/psychiatric disorders.

I understand that this medical records release is valid for one year from the date signed below, unless I have cancelled the release in writing prior to its expiration.

I understand that I may cancel this medical records release at any time by sending a letter to the professional identified in Section I.

I understand that, even if I cancel this release, the professional cannot take back any information that she/he has shared with the CCR&R, child care provider, and/or EEC when authorized to do so.

I understand that my decision to authorize the professional identified in Section I to share medical information with the CCR&R, child care provider, and/or EEC is voluntary. However, I understand that if I do not authorize the professional to share medical information, the CCR&R, child care provider, and/or EEC will not be able to make a determination regarding my disability or special need, and the decision about eligibility for financial assistance for child care will be made without consideration of the disability or special need claimed.
Parent’s/Guardian’s signature: ___________________________  Date: ________________

Please print:

Parent’s/Guardian’s name: __________________________________________

Child’s name & age: _________________________________________________

Address: _________________________________________________________

Phone: ______________________

Second Parent/Guardian _____________________________________________

Address (if different from above): ________________________________

Phone (if different from above): ______________________
Appendix G.2

Verification of Disability/Special Needs for CHILDREN

The Department of Early Education and Care (EEC) is the Lead Agency in the Commonwealth responsible for administering the Child Care Development Fund (CCDF), which is a federal block grant that provides financial assistance to low-income, working families seeking high-quality early education and out of school care programs in Massachusetts.¹ Child care financial assistance funded by CCDF is not an entitlement.² Federal and state regulations establish maximum household income thresholds and require parents to participate in an approved service need activity, including work, education, or a training program.³ On a limited basis, an exception to the income and service need activity requirements may be granted for children/families receiving or in need of receiving protective services.⁴ CCDF funded child care cannot be authorized for purposes of providing respite care (e.g., to give a parent time off from parenting).⁵

A child may access early education and out of school care services, if the child is determined to be receiving or at risk of receiving protective services, including children determined to be special needs. Section 1A of Chapter 15D of the General Laws defines a “child with special needs” as “a child who, because of temporary or permanent disabilities arising from intellectual, sensory, emotional, physical, or environmental factors, or other specific learning disabilities, is or would be unable to progress effectively in a regular school program.”

The purpose of this form is: (1) to verify the existence of a child’s disability/special need; and (2) to confirm the type of program that would best address and/or improve the disability/special need.

¹ See G.L. c. 15D, §2.
² See 42 U.S.C. 9858(d)(a).
³ See 45 CFR 98.20 and 606 CMR 10.04.
⁴ Id.
⁵ See 45 CFR 98.20 and Federal Register/Vol. 63, No. 142 @ p. 39948-39949.
Section I: Disability/Special Needs Verification

To be completed by the professional.

The parent/guardian of the individual identified below has stated that, based on the child’s disability/special need, she/he is or would be unable to progress effectively in a regular school program because of temporary or permanent disabilities arising from intellectual, sensory, emotional, physical, or environmental factors, or other specific learning disabilities. Please fill out the information below to help us determine how we might meet the needs of this family.

Who may fill out this form:

- If the disability/special need is of a physical nature, this form must be filled out by a currently licensed physician.
- If the disability/special needs results from an emotional or mental health issue, this form may be filled out by a currently licensed (1) physician; (2) psychiatrist, (3) doctorate level psychologist, (4) nurse practitioner, or (5) psychiatric nurse.
- If the child is enrolled in Early Intervention, the Early Intervention Director may fill out this form.
- If the child is enrolled in a public school and is on an Individualized Education Plan (IEP), the Special Education Director may fill out this form.

1 Your professional role (check one – only professionals in roles listed here may complete this verification form):

   - Physician
   - Psychiatrist
   - Psychologist
   - Nurse Practitioner
   - Psychiatric Nurse
   - Early Intervention Program Director (child must have a current IFSP attached)
   - Special Education Staff Director (child must have a current IEP or 504 plan attached)

2 Name of Child: __________________________ Date of Birth: ______________

Questions 3 through 5 are only required to be answered if this form is being filled out by a physician, psychiatrist, psychologist, nurse practitioner, or psychiatric nurse:

3 How long have you been treating this patient? __________________________

4 I currently see this patient:

   - Daily
   - Weekly
   - Monthly
   - Other (specify frequency) __________________________
5 Please state the approximate date that the disability/special need commenced: __________

AND indicate the likely duration of the condition:

☐ Permanent    ☐ At least 1 year, but not permanent

☐ 6 months to 1 year    ☐ 6 months or less

**Question 6 must be completed regardless of the type of professional completing this form:**

6 Required Documentation to be attached to this verification form:

A letter on official letterhead of the professional completing this form providing specific information about the child’s disability/special need. This letter must include the following:

- identification of the child’s special need;
- explanation of the relationship between the disability/special need and the amount of time recommended for child care, including the number of days per week and hours per day (e.g., more than 6 hours per day or less than 6 hours per day); AND
- explanation of how the child will benefit from being enrolled in an early education and/or out of school care program. For purposes of demonstrating the benefit to the child, EEC expects a statement regarding how the program will positively impact and/or improve the child’s disability/special need. If this form is being completed by an Early Intervention Director or Special Education Director, the letter must confirm how the IFSP, IEP or 504 Plan does not provide adequate support and/or how child care provided by EEC will supplement the support provided by Department of Elementary and Secondary Education or Department of Public Health.

7 If this form has been completed by an Early Intervention Director, please attach a current IFSP to verify involvement in Early Intervention.

8 If this form has been completed by a Special Education Director, please attach a current IEP and/or 504 Plan to verify involvement in a public Special Education program.

Signature of Professional: ____________________________ Date: ________________

**Please print:**

Name: ____________________________ Title: ____________________________

Address: ____________________________

Phone: ____________________________ License Number: ____________________________

You may be contacted by an EEC representative to verify this information. EEC reserves the right to deny or reject a claim of disability/special need if the verification form and/or its required attachments are incomplete or deemed inadequate. If you have any questions or concerns, please contact EEC at 617-988-6600.
Section II: Medical Records Release

To be completed by the parent/guardian.

I am seeking financial assistance from the Department of Early Education and Care based on my child's disability/special need. I authorize the professional (categories listed above) identified in Section I to release the information requested on this form for the following individual:

____________________________________________________________________________________

I authorize the professional to share medical records or other information about the disability and/or special need listed in Section I with the Child Care Resource and Referral agency (CCR&R), child care provider, and/or EEC, to determine eligibility for financial assistance for child care. I authorize the CCR&R, child care provider, and/or EEC to contact the professional identified in Section I to verify the information provided on this form and to discuss his/her diagnosis of a disability/special need as it applies to the need for early education and care services.

This form authorizes the professional to release most medical or health information with the following exception. The professional identified in Section I cannot disclose the following medical or health information, unless such disclosure is expressly authorized. Please check the box next to each item below if you specifically authorize the professional to share the information described therein.

☐ I authorize the professional identified in Section I to share information about AIDS/HIV status.

☐ I authorize the professional identified in Section I to share information about drug or alcohol use.

☐ I authorize the professional identified in Section I to share information about psychological/psychiatric disorders.

I understand that this medical records release is valid for one year from the date signed below, unless I have cancelled the release in writing prior to its expiration.

I understand that I may cancel this medical records release at any time by sending a letter to the professional identified in Section I.

I understand that, even if I cancel this release, the professional cannot take back any information that she/he has shared with the CCR&R, child care provider, and/or EEC when authorized to do so.

I understand that my decision to authorize the professional identified in Section I to share medical information with the CCR&R, child care provider, and/or EEC is voluntary. However, I understand that if I do not authorize the professional to share medical information, the CCR&R, child care provider, and/or EEC will not be able to make a determination regarding my child's disability and/or special need, and the decision about my child's eligibility for child care financial assistance will be made without consideration of the disability or special need claimed.
Parent’s/Guardian’s signature: ________________________________  Date: ________________

Please print:

Parent’s/Guardian’s name: ____________________________________________

Child’s name and age: _________________________________________________

Address: ___________________________________________________________

Phone: __________________________

Second Parent/Guardian _______________________________________________

Address (if different from above): _______________________________________

Phone (if different from above): _______________________________
Appendix H

Summary of Eligibility, Requirements, Parent Co-Payments, and Reassessment Length

(Rev. 12/27/2012)

The tables on the following pages summarize the definition, income, and activity requirements, activity documentation, and reassessment period for families who fall into the following categories: Income Eligible Populations, Special Populations, DCF and DTA authorized families.

Standard Income Requirement: All families receiving EEC financial assistance must have an income at or below 50% of the state median income (SMI) upon initial assessment, and will continue to meet EEC income requirements as long as their income remains at or below 85% SMI.

Standard Activity Requirement: A parent or guardian must be participating in an approved EEC activity for at least 20 hours per week to be eligible for part-time care and 30 hours per week to be eligible for full-time care, up to a maximum of 50 hours of care per week. In two parent families, both parents must be participating in one or more EEC approved activities for the amounts of time previously stated.

Income Eligible Populations: see table on pages H-2 through H-6

Special Populations: see table on pages H-7 and H-8

DCF and DTA authorized families: see table on page H-9
### Income Eligible Populations  
(continued on next page)

<table>
<thead>
<tr>
<th>Eligibility Category</th>
<th>Definition</th>
<th>Income Requirement</th>
<th>Activity Requirement</th>
<th>Required Documentation*</th>
<th>Parent Fee</th>
<th>Reassessment Length</th>
</tr>
</thead>
<tbody>
<tr>
<td>Existing Employment:</td>
<td>Parent/guardian is engaged in paid employment for at least 4 weeks. <strong>This category includes post-transitional families previously authorized by DTA who are employed.</strong></td>
<td>Standard</td>
<td>Standard</td>
<td>Copies of pay stubs for one month (4 weeks within the most recent 6-week period)</td>
<td>Yes</td>
<td>12 months</td>
</tr>
</tbody>
</table>
| Newly Employed:      | Parent/guardian is newly employed, for less than 4 weeks. **This category includes post-transitional families previously authorized by DTA who are newly employed.** | Standard | Standard | 1. Employment Verification form  
2. After parent has engaged in paid employment for 4 weeks or more, copies of 4 of the 6 most recent pay stubs | Yes | Initial: 8 weeks; once employment is established, reassessment every 12 months |
| Existing Self-Employment: | Parent/guardian is self-employed and self-employment income is reflected in most recent federal tax returns. | Standard | Standard | 1. Employment Verification form  
2. Report of Self-Employment Earnings form (See Appendix F)  
3. Copies of business registration with the Massachusetts Department of Revenue, Doing Business As (DBA) certificate, required licenses, certificate of incorporation, or other documentation verifying the self-employment business  
4. Copies of most recent federal tax returns, including all applicable schedules  
5. Tax return transcript for most recent federal tax returns (Tax transcript form is available on EEC website.) | Yes | Every April 30th or within 6 months of the previous reassessment, whichever comes first |

* All sources of income should be included in both income eligibility and parent co-payment determination.
## Income Eligible Populations

(continued on next page)

<table>
<thead>
<tr>
<th>Eligibility Category</th>
<th>Definition</th>
<th>Income Requirement</th>
<th>Activity Requirement</th>
<th>Required Documentation*</th>
<th>Parent Fee</th>
<th>Reassessment Length</th>
</tr>
</thead>
</table>
| Newly Self-Employed for 3 Months or More: | Parent/guardian is newly self-employed and his/her self-employment income is **not** reflected in most recent federal tax returns. | Standard | Standard | 1. Employment Verification form  
2. Report of Self-Employment Earnings form  
3. Copies of business registration with the Massachusetts Department of Revenue, Doing Business As (DBA) certificate, required licenses, certificate of incorporation, or other documentation verifying the self-employment business  
4. Copies of federal tax returns for the first year of self-employment, including all applicable schedules, must be submitted upon reassessment.  
5. Tax return transcript for federal tax returns for first year of self-employment must be submitted upon reassessment. (Tax transcript form is available on EEC website.) | Yes | Every April 30th or within 12 months of the previous reassessment, whichever comes first |

* All sources of income should be included in both income eligibility and parent co-payment determination.
### Income Eligible Populations

<table>
<thead>
<tr>
<th>Eligibility Category</th>
<th>Definition</th>
<th>Income Requirement</th>
<th>Activity Requirement</th>
<th>Required Documentation*</th>
<th>Parent Fee</th>
<th>Reassessment Length</th>
</tr>
</thead>
</table>
| Newly Self-Employed for Less Than 3 Months: | Parent/guardian has been self-employed for less than 3 months. | Standard | Standard | 1. Employment Verification form  
**Note:** Upon expiration of initial 12 week eligibility period, an updated Report of Self-Employment Earnings form including completed Monthly Self-Employment Earnings Worksheets for the previous 3 months must be submitted.  
3. Copies of business registration with the Massachusetts Department of Revenue, Doing Business As (DBA) certificate, required licenses, certificate of incorporation, or other documentation verifying the self-employment business  
4. Copies of federal tax returns for the first year of self-employment, including all applicable schedules, must be submitted at reassessment.  
5. Tax return transcript for federal tax returns for the first year of self-employment must be submitted at reassessment. (Tax transcript form is available on EEC website.)  
**Note:** Tax returns and the tax transcript must be submitted at the reassessment that follows the initial 12-week eligibility period. If the tax return and transcript are not available at that time, they must be submitted at the next reassessment, which will occur within 12 months of the reassessment which follows the initial 12-week eligibility period, or no later that April 30th, whichever comes first. | Yes | Initial: 12 weeks; if the parent/guardian remains eligible, every April 30th or within 12 months, whichever comes first |

* All sources of income should be included in both income eligibility and parent co-payment determination.
### Income Eligible Populations

(continued on next page)

<table>
<thead>
<tr>
<th>Eligibility Category</th>
<th>Definition</th>
<th>Income Requirement</th>
<th>Activity Requirement</th>
<th>Required Documentation*</th>
<th>Parent Fee</th>
<th>Reassessment Length</th>
</tr>
</thead>
</table>
| **Education & Training** | A parent enrolled in:  
• a full-time high school program  
• a high school equivalency program (such as GED)  
• a vocational training program  
• college/university, not including graduate school, medical school, or law school (work study, practicum, clinical experience or internship is considered employment) | Standard            | Standard             | 1. If the applicant is enrolled in college or university coursework, a written statement from the administration of the college/university program to verify enrollment, specifically noting the number of credits for which the student is enrolled  
If the applicant is participating in a training program or high school, a written statement from the school or training program to verify enrollment, including duration and schedule of program  
2. Documentation of family income | Yes                     | 12 months; reassessment to verify continuation of activity following the documented end of activity (e.g., end of the school year, semester) |
| **Guardianship (Temporary or Permanent)** | A child who is in the temporary or permanent legal custody of a grandparent or other adult | Exempt             | Standard             | A court order granting temporary or permanent custody | No         | 12 months           |
| **Homeless Family (updated February 7, 2011)** | A child whose family is homeless and residing in a DHCD or DCF shelter, or at risk of homelessness based on the family’s participation in a DHCD diversion or stabilization program. | Standard            | Standard             | 1. Referral from DHCD, DCF, or other designated entity  
2. Documentation of family income | Yes                     | 12 months           |
| **Job Search** | Parent is experiencing unemployment and is in the process of seeking paid employment. | Standard            | Standard             | 1. A letter from former employer documenting termination (voluntary or involuntary)  
If a letter cannot be obtained, the intake agent may verify termination via phone. The date and name of the intake agency employee and the name of the staff person at the former employer who confirmed the termination must be documented and maintained in the family’s file.  
**Note:** Families applying for EEC financial assistance for the first time need not submit evidence of initial job search.  
2. Documentation of family income | Yes                     | Initial: 8 weeks; existing clients may receive up to 4 additional weeks in extraordinary circumstances |

* All sources of income should be included in both income eligibility and parent co-payment determination.
### Income Eligible Populations (continued)

<table>
<thead>
<tr>
<th>Eligibility Category</th>
<th>Definition</th>
<th>Income Requirement</th>
<th>Activity Requirement</th>
<th>Required Documentation*</th>
<th>Parent Fee</th>
<th>Reassessment Length</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maternity (Parental) Leave</td>
<td>Parent is on parental leave from previously approved EEC activity.</td>
<td>Standard</td>
<td>Exempt</td>
<td>Letter from the employer indicating the allowance of maternity (parental) leave, with verification of any salary the parent may receive during leave and the duration of the leave</td>
<td>Yes</td>
<td>Up to 12 weeks, based on employee allowance.</td>
</tr>
</tbody>
</table>
| Military Service              | Parent/guardian is serving in the U.S. military, including the National Guard, deployed or activated to a combat zone, hazardous duty zone, or venue for preparation for deployment to a combat or hazardous duty zone. | Standard (with exclusion of combat or hazardous duty pay) | Standard               | 1. A copy of military orders
Note: In a two parent family, the second parent must provide documentation that he/she is participating in an EEC approved activity for the minimum required amount of time (20 hours for part-time care and 30 hours for full-time care). In a single-parent family or in a two-parent family where both parents are members of the U.S. military, the person responsible for the care of the child in the absence of the parent(s) must provide documentation that he/she is participating in an EEC approved activity for the minimum required amount of time.

2. Documentation of family income
Note: When determining the income earned by a parent who is employed as a member of the U.S. military or National Guard, hazard or combat compensation should be deducted from the parent’s included earnings. | Yes        | 12 months                                   |

* All sources of income should be included in both income eligibility and parent co-payment determination.
## Special Populations (continued on next page)

<table>
<thead>
<tr>
<th>Eligibility Category</th>
<th>Definition</th>
<th>Income Requirement</th>
<th>Activity Requirement</th>
<th>Required Documentation</th>
<th>Parent Fee</th>
<th>Reassessment Length</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child in Foster Care</td>
<td>A child receiving temporary substitute parental care under the auspices of the Department of Children and Families (DCF)</td>
<td>Exempt: child considered family of 1</td>
<td>Standard</td>
<td>1. DCF referral&lt;br&gt;2. Documentation of foster parent’s participation in an EEC approved activity</td>
<td>No</td>
<td>12 months</td>
</tr>
<tr>
<td>DCF Adoptive Family</td>
<td>Family participating in formal DCF adoption process</td>
<td>At or below 85% SMI</td>
<td>Standard</td>
<td>1. Documentation of family income&lt;br&gt;2. Documentation of adoptive parent’s participation in an EEC approved activity</td>
<td>Yes</td>
<td>12 months</td>
</tr>
<tr>
<td>Guardianship (Temporary or Permanent) in which guardian is over age 65 and retired</td>
<td>A child who is in the temporary or permanent legal custody of a grandparent or other adult</td>
<td>Standard Exempt</td>
<td>Exempt</td>
<td>1. A court order granting temporary or permanent custody&lt;br&gt;2. Documentation of retirement income&lt;br&gt;3. Verification of age, including birth certificate, driver’s license, passport, government identification, Social Security card)</td>
<td>No</td>
<td>12 months</td>
</tr>
<tr>
<td>Special Need: Child</td>
<td>A child with a documented special need who would benefit from access to early education and care</td>
<td>Entry up to 85% SMI; Exit at 100% SMI</td>
<td>At least part-time</td>
<td>1. Verification of Special Need form&lt;br&gt;2. Documentation of family income&lt;br&gt;3. Documentation of parent’s participation in an EEC approved activity</td>
<td>Yes</td>
<td>12 months; parents/guardians of a child with a temporary special need are re-assessed before the documented end date of the child’s special need</td>
</tr>
</tbody>
</table>

* All sources of income should be included in both income eligibility and parent co-payment determination.
### Special Populations (continued)

<table>
<thead>
<tr>
<th>Eligibility Category</th>
<th>Definition</th>
<th>Income Requirement</th>
<th>Activity Requirement</th>
<th>Required Documentation*</th>
<th>Parent Fee</th>
<th>Reassessment Length</th>
</tr>
</thead>
</table>
| Special Need: Parent | A parent with a documented special need who is unable, due to the special need, to care for the child during the time for which early education and care financial assistance is being requested | Entry up to 85% SMI; Exit at 100% SMI | Exempt               | 1. Verification of Special Need form  
2. Documentation of family income | Yes | 12 months; parents/guardians with a temporary special need are reassessed before the documented end date of the special need. **May not be authorized for more than 2 years without EEC approval.** |
| Teen Parent          | A parent who is younger than 20 years of age                                | Standard           | Standard             | 1. Copy of parent’s birth certificate, driver’s license, or other government issued identification (state identification card, military dependent’s card, passport) stating date of birth or TLP referral  
2. Documentation of family income  
3. Documentation of teen parent’s participation in an EEC approved activity | Yes, unless they are referred by DTA or DCF OR their income places them in fee level where no fee is assessed | Up to 12 months |

* All sources of income should be included in both income eligibility and parent co-payment determination.
**Authorized Populations**

The chart below summarizes the definition, income documentation, and reassessment period for **DCF and DTA authorized** families. These families are currently only served by the CCR&R or particular EEC contracted providers.

<table>
<thead>
<tr>
<th>Eligibility Category</th>
<th>Definition</th>
<th>Required Documentation</th>
<th>Parent Fee</th>
<th>Reassessment Period</th>
</tr>
</thead>
</table>
| DTA Authorization             | Families receiving TAFDC benefits and for whom DTA has authorized access to EEC financial assistance | 1. DTA Authorization  
2. Documentation of identity to verify recipient of authorization  
No other documentation is required. | No         | As authorized by DTA                                                                |
| DTA Transitional Authorization| Families transitioning from TAFDC support and for whom DTA has authorized access to EEC financial assistance. | 1. DTA Authorization  
2. Documentation of identity to verify recipient of authorization  
3. Documentation of family income  
No other documentation is required. | Yes        | 12 months, as authorized by DTA or until case closure, whichever comes first         |
| DCF Supportive Authorization  | Child/family involved with DCF for whom DCF has authorized access to EEC supportive care | 1. DCF Authorization  
2. Documentation of identity to verify recipient of authorization  
No other documentation is required. | No         | As authorized by DCF                                                                |
Appendix I

Application (03/11/2003) (Rev. 12/27/2012)

Income Eligible Child Care Subsidy
Policy Statement: Eligibility: Application
Number: P-EEC-Income Eligible-08

The Child Care Subsidy Application and Fee Agreement (CCSAFA) must be completed for all families who request subsidized child care. A master form, preprinted with program-specific information is provided to contracted child care providers for their use. (The form can also be found on EEC’s website at http://www.mass.gov/edu/docs/eeec/forms-techasst/financial-assistance/income-eligible/20120829-application-fee-agreement.pdf.) The purpose of the Child Care Subsidy Application and Fee Agreement form is:

- to identify and verify the financial and service need eligibility of parents at initial application and at reassessment;
- to determine family size and record gross monthly income (or compute adjusted gross monthly income, under certain limited conditions);
- to determine the family’s fee level and, if applicable, assess fees based on the Commonwealth’s Sliding Fee Scale for Child Care;
- to determine whether or not the family has been prioritized to receive services; and
- to develop a database of the parent population for reporting requirements.

All of the information requested must be entered on the form. Failure to enter all requested information may result in a parent being denied access to subsidized care.¹ Once the application form is complete, the parent must verify the information through documentation. Providing false or misleading information that may affect a parent’s eligibility or fee level may result in termination of the subsidy, ineligibility for any further EEC child care subsidy, an obligation to repay the cost of child care, and/or the assessment of a civil fine.

A new Child Care Subsidy Application and Fee Agreement must be completed at least every 12 months. It is advisable for the parent to complete a new Child Care Subsidy Application and Fee Agreement whenever the information contained in the agreement changes. However, if, during the period of authorized child care subsidy, the parent presents evidence of a change in income of more than 20% that warrants an increase in co-payment, the parent must sign a new Child Care Subsidy Application and Fee Agreement. The parent may sign a new agreement if the co-payment decreases.

¹ Otherwise-eligible parents may not be denied care for refusing to provide a Social Security number.
Before a child can be enrolled in care, the parent must also sign an Attendance Notification Agreement, which documents the parent’s understanding of, and agreement with, policies regarding attendance, absence, and notification. The parent must also sign an EEC Financial Assistance Agreement (found on EEC’s website at http://www.mass.gov/edu/docs/eec/forms-techasst/financial-assistance/income-eligible/ie-fa-agreement.pdf), which documents the parent’s understanding of the consequences of failure to accurately report information that may impact his/her eligibility or fee level.
Appendix J

Special Needs Flexible Funding Requests for Children with Disabilities (Issued 11/27/12)

The Department of Early Education and Care (EEC) has established regulatory standards that support high-quality early education and care programs that reflect the diversity of the Commonwealth. Part of that diversity includes educators/programs accepting applications and making reasonable accommodations to welcome or continue to serve any child with a disability.

606 CMR 7.04(13) states that an educator/program must, with parental consent, request information about the child from the Local Education Agency (LEA), Early Intervention (EI) Program, or other health or service providers. Based on this information, the educator/program, with the parent’s input, must identify in writing the specific accommodation, if any, to meet the needs of the child. The educator/program must determine if the accommodation required presents an unreasonable or undue burden, considering the following factors:

- nature and cost of the required accommodation;
- ability to secure funding or services from other sources;
- the financial resources of the educator/program; and
- the impact on the educator/program, including the effect on expenses and resources.

The educator/program will then make a decision whether the accommodation required is unreasonable or would cause an undue burden to the educator/program.

Undue Burden to the Educator/Program

If the educator/program determines that the requested accommodation would cause an undue burden, they must provide written notification to the parents within 30 days of the receipt of the information requested from the LEA, EI, or other service providers. This notification must include:

- the reasons for the educator’s/program’s decision; AND
- notification to the parents, that they may request EEC to review the decision to determine compliance with 102 CMR 1.03(1)¹ and 606 CMR 7.04(13).

The educator/program should inform parents of other available services and/or programs that can meet the needs of the child.

¹ EEC’s regulation at 102 CMR 1.03(1) addresses non-discrimination: “the licensee shall not discriminate in providing services to children and their families on the basis of race, religion, cultural heritage, political beliefs, national origin, marital status, sexual orientation or disability.”
Reasonable Accommodation

If the necessary accommodation does not cause an undue burden, the educator/program will enroll or continue to serve the child in the appropriate program. This may require working with local service providers and/or the child’s school, with the parents’ consent. The accommodation may require the use of community resources, such as a referral to EEC’s partners, including the local Coordinated Family and Community Engagement (CFCE) grantee or the Mental Health Consultation Services grantee.

Accommodation through Special Needs Flexible Funding

An educator/program may determine that a reasonable accommodation for a subsidized child will require short-term financial assistance. Short-term financial assistance may be authorized for up to 6 months, with a one-time renewal of another 6 months, if authorized by EEC. At no time will short-term financial assistance extend beyond 12 months.

EEC has limited flexible funding available for temporary financial support to successfully transition and include a subsidized child with disabilities/special needs. Appropriate fund use may include:

- consultation to identify necessary supports for the child;
- training for program staff;
- specialized equipment; or
- a temporary aide position to enhance staffing.

This funding is a temporary and preparatory step, and the educator/program is expected to integrate funded accommodations into regular practice to enhance their ability to better meet the child’s needs.2

Review

The EEC Financial Assistance Policy Analyst will review all flexible funding requests and promptly forward specific questions to the appropriate regional Family Community Quality Specialist. The specialist will confer with the EEC licensor for the program and respond within 2 business days. The EEC Financial Assistance Policy Analyst has discretion to seek input from the Regional Consultation Program, the Early Childhood Mental Health Specialist, and/or the QRIS Health Care Consultant.

In making decisions to approve/deny applications for flexible funding, reviews are based on an evaluation of all documentation submitted. The EEC Financial Assistance Policy Analyst may need to conduct a site visit to ensure proper, effective, and efficient use of flexible funds.

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2 EEC expects that all programs seeking an accommodation through Special Needs Flexible Funding are enrolled in the Massachusetts Quality Rating and Improvement System (QRIS), as required by their early education and care voucher services agreement or contract.
Each special needs funding request must include:

- Children with Disabilities/Special Needs Flexible Funding Application Request
- Parental request and consent initiating information from the Local Education Agency (LEA), Early Intervention Program, or other health or service providers
- EEC Standard Parental Consent form
- A written statement of the educator’s/program’s attempts to accommodate the child’s disability, including outreach to the local CFCE grantee and/or Mental Health Consultation Services grantee
- A written plan that describes the use of funds and how the program will transition the costs of the accommodation for the child from the flexible funding to its operating budget.
- Disabilities/Special Needs Flexible Funding Budget Request
- EEC Verification of Disability/Special Need for Children form, including all required supplemental documentation (completed by a Physician, Psychiatrist, Psychologist, Nurse Practitioner, Psychiatric Nurse, Early Intervention Program Director, or Special Education Staff Director with an accompanying letter)
- Proof of referral and/or documentation of service delivery to behavioral health specialist, early intervention services, or special education services, as appropriate
- Job description, if request is for an aide position
- If request is for training or consultation services, name of person and/or organization, with documented qualifications of ability to provide training and/or consultation

If the child is on an IFSP, IEP, or 504 plan, the educator/program must note if the plan requires a one-to-one aide for the child or other accommodation that the program is seeking through this flexible funding request (i.e., if the program is seeking a one-on-one aide, but the child does not have an IEP requiring a one-on-one, the educator/program will be asked to explain this discrepancy in writing).

2 Additional Considerations

If the program has been approved for multiple aides in several classrooms, the educator/program must offer justification of why another aide is needed. EEC reserves the right to limit the number of aides in individual classrooms.
3 Funding Decisions

All reviews will result in one of the following options:

- Approved
- Conditionally approved, subject to a scheduled site visit
- Not approved, with transition plan and referrals

Decisions will be made no later than 30 days after receiving the request, unless a site visit is required, then a decision will be made within 45 days of receiving the request.

For contracted providers, the EEC Financial Assistance Policy Analyst will notify each program in writing of the decision for each request. If the application is denied, the contracted provider will develop a transition plan for the child. If it is approved, the Disabilities/Special Needs Flexible Funding Budget Request will be returned to the program. The program will then submit this form with a Payment Voucher to EEC for payment.

For voucher children, the EEC Financial Assistance Policy Analyst will notify the CCR&R in writing of each decision and send the signed Disabilities/Special Needs Flexible Funding Budget Request to the appropriate CCR&R. If a request is denied, the CCR&R will provide the voucher program with a transition plan and referrals to assist with the child’s and program’s needs. For approved applications, the CCR&R will submit the Disabilities/Special Needs Flexible Funding Budget Request with a Payment Voucher to EEC for payment on behalf of the voucher provider.

Any denied flexible funding application will be submitted, with accompanying documentation, to the EEC Legal Unit for review.
Appendix K


Income Eligible Child Care Subsidy
Policy Statement: Reimbursement
Number: P-EEC-Income Eligible-14

Utilization and Approved Closures

Programs with an Income Eligible Child Care contract will be reimbursed at the contracted (daily) rate, less required fees, for actual utilization. Utilization is the number of enrolled slots multiplied by the number of service days in a given month. Service days include enrolled days (present and absent), holidays, and approved closures. Approved closures include holidays that are listed in the provider’s contract with the EEC.

A child is not considered enrolled in subsidized care until the first day the child actually attends the program. If the child is on a voucher, he/she may not be enrolled in a program before the beginning date indicated on the voucher. The child will remain enrolled until the end date on the Application and Fee Agreement, until the end date on the voucher, or until the subsidy is terminated, whichever comes first.

NOTE: Providers will not be reimbursed for children who are enrolled without a current Child Care Application and Fee Agreement or voucher. Vouchers will not be back-dated or issued retroactively. Providers will not be reimbursed for care of children beyond their 13th birthday. Licensed family child care providers will not be reimbursed for care of their own children or foster children placed in their home.

Rates

Full-time center based child care (serving children for 30 or more hours per week) is paid at 100% of the approved daily rate. Contracted, center-based school age programs are paid a blended rate based on the average number of full days and partial days that care is needed. Family Child Care programs that serve school age children are paid according to the hours of service provided. A full-day rate is paid when the child is present for 6 or more hours, and a half-day rate is paid when the child is present for fewer than 6 hours.

Providers will be paid the appropriate rate for the group the child attends. Providers should contact EEC’s Accounting Unit to get billing approval when the child ages out of the group, but remains due to his/her individual developmental needs.

Family Child Care Systems must pay family child care providers who have an agreement with the system at a rate equal to or greater than the regional sub-unit rate for Family Child Care, based on the age of the child (less than or more than 2 years old). The child care provider must be paid the sub-unit rate for every day that the system receives payment from EEC (including vacations, holidays, and vacant days). A full-day rate is paid when the child is present for 6 or more hours, and a half-day rate is paid when the child is present for fewer than 6 hours.
Processing Payments

Type of Reimbursement
Regular Invoiced Payment is offered by the EEC. All payments are reviewed and processed in the Massachusetts Management Accounting and Reporting System (MMARS) within 5–7 business days of receipt of invoice.

Issuing Payments
The Office of the State Comptroller requires statewide contracts and vendors to receive payment only via Electronic Funds Transfer (EFT).

Contracted Provider
Contracted programs must complete and submit a monthly Service Delivery Report and Payment Voucher to the EEC Accounting Unit by the 20th calendar day of each month following the month of service delivery. If the 20th falls on a weekend, billing is due the next business day. Payment Voucher and Service Delivery Forms are available through the Electronic Child Care Information Management System (eCCIMS) with rate, contract, and slot information for billing purposes. All payments are processed within 5–7 business days of receipt of invoice.

Child Care and Resource Agencies (CCR&R)
For voucher services, the CCR&R completes the Request for Reimbursement (RFR) form and mails it to the provider by the second working day of the month following the month in which services were provided. The information on the RFR will be verified by the child care provider and returned to the CCR&R no later than the 10th working day of the month following the month in which the services were provided. Once the provider and the CCR&R agree that the RFR is accurate, the CCR&R submits a monthly payment voucher, along with the required forms, to the EEC Accounting Unit by the 20th calendar day of each month following the month of service delivery. If the 20th falls on a weekend, billing is due the next business day. All payments are processed within 5–7 business days of receipt of invoice.

EEC will reimburse the CCR&R, who will reimburse each provider. The CCR&R will pay the provider/system within 5 business days of receipt of funds from EEC for services rendered.

All contracted providers and CCR&Rs are required to submit monthly billing by the required deadline. Any invoices not received at EEC by the required deadline will be held and added to the next month’s billing. **EEC reserves the right to entirely disallow payments if invoices are late 3 or more months.**
Appendix L

Sharing Information (09/13/2004)

Child Care Licensing and Subsidy Policy Statement: Sharing Information Number: P-EEC-02

Child care programs serving families that receive EEC subsidies must, upon request, provide EEC staff and staff of the local CCR&R with any information in children's records relevant to a family’s eligibility for a child care subsidy. This sharing of information is in agreement with the Commonwealth Terms and Conditions and individual voucher provider agreements with CCR&Rs, which permit EEC to access records to determine compliance with EEC subsidy rules and requirements. Such information sharing is in agreement with EEC Licensing and Enforcement regulations, which require licensees to provide EEC access to their facilities, records, staff, and references to determine compliance with EEC regulations. See 102 CMR 1.06(3).

The sharing of information in a child’s records does not constitute a breach of confidentiality when the information is relevant to the family’s eligibility for a subsidy, is shared for the purpose of determining compliance with EEC subsidy regulations or policies, and is provided to EEC or to EEC’s designated authority (e.g., the CCR&R).
Income Eligible Child Care Subsidy
Policy Statement: Eligibility: Transportation
Number: P-EEC-Income Eligible- 21

Transportation Funding
Funding may be available to assist families who receive a child care subsidy through the income eligible program, by paying for transportation between home or school and child care. Subject to funding availability, programs will be reimbursed at the EEC-approved rate for one way or round-trip transportation, based on an assessment of the family’s need. The contracted provider or Child Care Resource and Referral agency (CCR&R) must document the parent’s reason for needing transportation funding, taking into consideration such factors as:

- the availability of public transportation;
- whether a parent has a car;
- any physical incapacity of the parent that may prevent the parent from transporting the child; and
- whether the parent’s work schedule prevents transportation of the child to or from care.

In determining eligibility for transportation funding, the provider or CCR&R must consider the distance from between the child’s home and the child care program. Anyone who lives within one half mile of the provider will not receive transportation funding. Exceptions to this rule include situations in which the parent has no car, there is no public transportation available, and:

- the parent’s work schedule would not allow time for the parent to walk the child to care and then get to work on time;
- the child’s disability prevents her/him from walking or being transported by stroller, carriage, or other similar means;* OR
- the parent’s disability prevents him/her from walking the child to care.*

Children who live more than one half mile from the child care program may be eligible for transportation funding when the parent’s or child’s disability prevents transportation via personal or public transportation, or when the parent does not have personal transportation resources and public transportation is not available. For public transportation to be considered “available” it must be running on the days and at the hours when the parent’s work and the child’s care schedules require transportation, and must be able to accommodate the child’s or parent’s disability, if any. Public transportation will not be considered “available” if the time required to travel from home to

* The disability must be verified in writing by an M.D. If the disability is due to an injury or other temporary circumstance, transportation funding ends when the disability ends.
the child care program is more than 45 minutes, or when the time required to travel from home to
the child care program and then to work is more than one hour.

Subsidy administrators may make exceptions to allow transportation funding under extreme
circumstances. For example, when a parent has too many children to safely transport, when the
route to child care is heavily trafficked or otherwise unsafe, or when a child’s health prohibits the
outdoor time or physical exercise required, an exception may be appropriate. However, subsidy
administrators will not make exceptions to the 45-minute travel time limit for transportation ar-
ranged or provided by the child care program, and must document the exception in writing and
include it in the file.

Since passenger safety laws do not require seatbelts or safety seats on public transportation ve-
hicles, this will not be a consideration in the decision to fund transportation.

All programs providing transportation services must ensure that all transportation, includ-
ing that provided by subcontractors, complies with Registry of Motor Vehicles standards, and
all EEC requirements, including the general terms and conditions of their contract or voucher
provider agreement and EEC’s policy Procedures for the Drop-Off and Pick-Up of Children
by Transportation Providers and Parent/Program Notification 606 CMR 7.13 (which can be
found on EEC’s website at http://www.mass.gov/edu/docs/eec/laws-regulations-and-policies/

**Transportation Policies**

A program that provides or coordinates transportation must develop written transportation poli-
cies and designate a specific staff person responsible for transportation services. The staff person
is responsible for coordination of the transportation system, and for hearing and addressing con-
sumer concerns, complaints, or suggestions. Providers must discuss their transportation policies
with parents, and inform them of the identity of the transportation coordinator.

Providers must include the following in their policies: the procedures to be followed when chil-
dren or parents are not ready for pick-up or available at time of drop-off; the maximum amount
of time drivers will wait for unprepared families or the return of an absent adult at drop off; the
amount of time professional staff will assume responsibility for trying to locate an absent parent
or other emergency contact before taking additional steps such as filing a 51A with the DCF Area
Office or after-hours hotline; the process for addressing misbehavior of children during transport;
documentation and reporting of accidents; and the possible consequences for a family’s misuse of
transportation.

**Service Need**

When children are transported by the child care provider between home and child care, the
child’s time in transportation is not included in determining the parent’s service need.

A maximum of 5 hours per week spent by the parent traveling between work or school and child
care may be included in determining the parent’s service need when the parent is responsible for
transporting the child.